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CONTENTS



15 Editorial Notes

Margaret Helen F. Udarbe

**23 Art Re-Call: Riverscapes IN FLUX
Redefines Art as Life**

Elenita de la Rosa Garcia

**46 Access to Water Amid Urbanization:
Small-Scale Providers in the Water Supply
Context of Cebu City, Philippines**

Fiscalina Amadora-Nolasco, Lauren V. Ligaton,
Brenette Abrenica, and Boy Riel Gaid

**69 Reportage and Framing the Link Between
Climate Change and Biodiversity in the
Philippine Daily Inquirer in 2012**

Dhanicca Amor M. Domingo
and Serlie Barroga-Jamias

**97 Performance of Newly Weaned Pigs Fed
Alternative Sources of Protein**

Michaelito A. Naldo, Jonathan Quilat,
Romualdo R. Catbagan, Leonides D. Garcia,
and Arturo Jose L. Frio

117 Shifting Pattern and Sophistication of the American Colonial Domination in the Philippines: From Colonialism to Technological Domination

Jeffrey Y. Ocay

153 Responding to Gregorio Brillantes: An Evaluation of Student Responses to “Faith, Love, Time, and Dr. Lazaro ”

Alana Leilani C. Narciso
and Lady Flor N. Partosa

NOTES

183 Viewing Boykin and Schoenhofer’s Nursing as Caring Through Parse’s Criteria for Evaluation of Theories

Maybelle R. Lacdo-o

197 The Collapse of Donkey’s Ear Abalone (*Haliotis asinina*) Fishery in Siquijor, Philippines

Billy T. Wagey and Abner A. Bucol

205 New Distributional Records of Six Species of Butterflies in the Philippines

Jade Aster T. Badon

REVIEWS

213 A Close Reading of Five Poems from Marjorie Evasco and Alex Fleites’s *Fishes of Light/Peces de Luz: Tanrenga in Two Tongues/Tanrengas en Dos Idiomas*

Roberto Klemente Timonera

**219 The Hybridization of Filipino Identity
as a Result of Colonization and
Neocolonization in Carlos Ojeda Aureus's
*Nagueños***

Jocille Ann B. Morito

231 Silliman Journal Editorial Policy

251 Erratum





PUBLICATION GUIDELINES



SILLIMAN JOURNAL welcomes submission of scholarly papers, research studies, brief reports in all fields from both Philippine and foreign scholars, but papers must have some relevance to the Philippines, Asia, or the Pacific. All submissions are refereed.

SILLIMAN JOURNAL is especially receptive to the work of new authors. Articles should be products of research taken in its broadest sense and should make an original contribution to their respective fields. Authors are advised to keep in mind that SILLIMAN JOURNAL has a general and international readership, and to structure their papers accordingly.

SILLIMAN JOURNAL does not accept papers which are currently under consideration by other journals or which have been previously published elsewhere. The submission of an article implies that, if accepted, the author agrees that the paper can be published exclusively by the journal concerned.

Manuscripts of up to 10,000 words, including tables and references, should conform to the conventions of format and style exemplified in a typical issue of SILLIMAN JOURNAL. Documentation of sources should be disciplined-based. Whenever possible, citations should appear in the body of the paper, holding footnotes to a minimum. Tables must be held to a maximum of five. Pictures or illustrations will be accepted only when absolutely necessary. All articles must be accompanied by an abstract of 200 words and keywords of not more than ten words, and must use gender-fair language.

SILLIMAN JOURNAL likewise welcomes submissions of "Notes," which generally are briefer and more tentative than full-length articles. Reports on work-in-progress, queries, updates, reports of impressions rather than research, responses to the works of others,

even reminiscences are appropriate here.

SILLIMAN JOURNAL also accepts for publication book reviews and review articles.

Manuscripts should be submitted electronically in one Microsoft Word file (including title page, figures, tables, etc. in the file), preferably in RTF (.rtf). Figures and photos must also be attached to the email in .jpeg. Please send one copy of the manuscript as an e-mail attachment, with a covering message addressed to the Editor: sillimanjournal@su.edu.ph

The Editor will endeavor to acknowledge all submissions, consider them promptly, and notify the authors as soon as these have been refereed. Each author is entitled to one complimentary copy of the journal. Additional copies are available by arrangement with the Editor or Business Manager before the issue goes to press.

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SILLIMAN JOURNAL



EDITORIAL NOTES



“Science is always simple and always profound. It is only the half-truths that are dangerous.”

George Bernard Shaw

The Doctor's Dilemma (1913)

“Imagination is nostalgia for the past, the absent; it is the liquid solution in which art develops the snapshots of reality.”

Cyril Connoly

The Unquiet Grave (1945)

“Science has given to this generation the means of unlimited disaster or of unlimited progress. There will remain the greater task of directing knowledge lastingly towards the purpose of peace and human good.”

Sir Winston Churchill

(1944)

WELCOME TO ANOTHER issue of *Silliman Journal*—the multidisciplinary university journal that tells you what academics are doing and studying in their varied fields of expertise.

But first, our cover art is by Dumaguete resident visual artist Jana Jumalon-Alano. Jana was born and raised in Zamboanga City where she finished AB Communications. In 2001, she launched her solo music concert at the Ateneo de Zamboanga University and was awarded as one of the Top 10 Finalists for Visayas in the 2011 Philippine Art Awards. Her works have been featured in several international and local exhibitions, the most recent ones being *Bae Mindanaw* (Italy, 2011), *Habagatan* (Altromondo Gallery, 2012), *All Together Now* (Yuchengco Museum, 2012), *50 Ilonggo Artists*

(Ayala Museum, 2013), and *Everything About This Girl* (Silliman University Cultural Affairs Committee, 2014), which is her first solo exhibition. With the support of Ateneo de Zamboanga University, she is currently writing the songs for an all-Chavacano musical to be launched this year.

In the first article in this issue, the philosophy professor Elenita de la Rosa Garcia reviews *Riverscapes*—an exhibit on Southeast Asian Rivers and examines the views articulated by the artists in the context of Western (e.g., Nietzsche and Heidegger) and Japanese (e.g., *wabi-sabi*) philosophy. Leni's essay is both insightful and thought-provoking, almost as if one is not simply talking about art.

The next paper is also about water, though from a totally different perspective. Pecks Nolasco and her colleagues survey the status of water supply in Cebu City. Health protection and access to water are basic human rights, but this study also shows how water has become a serious socio-political and economic issue. Similarly, Dhanicca Domingo and Serlie Jamias conducted a study of our physical environment, but from the perspective of mass communication. In particular, the authors wanted to look at how news reports covered biodiversity changes and whether or not these were connected to climate change. Results were not very promising.

The fourth article is an investigation into the diet of piglets by Lito Naldo and colleagues in the field of agriculture. Studying 630 newly-weaned piglets, the authors experimented with an alternative diet—yeast protein—even though soybean meal combined with dried whey and plasma protein have been the usual protein sources in diets for newly-weaned pigs. The successful experiment has cost-saving implications for farmers.

In the fifth paper, we shift our attention to the historian-philosopher Jeffry Oca's attempts at connecting American colonial domination with present-day Filipino consciousness and work attitudes. Jeff raises many points of argument and makes one wonder if that was part of the motivation—to engage the readers in debate.

The final full-length article is by English teachers Alana Narciso and Lady Flor Partosa who evaluate their students' responses to the work of Filipino Gregorio Brillantes, the short story entitled "Faith, Love, Time, and Dr. Lazaro." The class assignment was brought about by the concern to "bridge the gap between the reader and the text." The exercise, known as reflective reading—an intellectual

and personal experience, comes highly recommended.

Notes Section

This issue's Notes Section includes "Nursing as Caring" by the nurse-practitioner Maybelle Lacdo-o, an investigation into an environmental catastrophe by biology scientists Billy Wagey and Abner Bucol and new records of butterflies in the Philippines by Jade Badon.

Review Section

Two reviews round off this multidisciplinary issue. Arkay Timonera examines five poems in Sillimanian poet Marjorie Evasco and Venezuelan poet Alex Fleites' *Fishes of Light: Tanrenga in Two Tongues / Peces de Luz: Tanrengas en Dos Idiomas*, but begins first with the book's appearance (bookmark included), adding that the calligraphy goes extremely well with the elegance of the poems. "The poems here are crystallized mo(ve)ments in the poets' gaze, intensely concentrated instants where all things shine, however briefly, in their truest forms—much like how the scales of the fish glint when struck by the sun at certain angles," observes Arkay.

Jocille Morito's review of Bicol-based Sillimanian writer Carlos Ojeda Aureus' short story collection *Nagueños* brings the reader back to the issue of colonial rule, this time by Spain. The eight stories are about people in and from Naga City, Philippines and revolve around roots, health, faith, romance, and violence. Jocille suggests a quick lesson on Philippine history under Spanish rule in order to understand the stories and ultimately the Filipino identity.

Silliman Journal's 60th

I thank the contributors to this issue for the points of view that make interesting reading. I am also grateful to our reviewers, editorial staff, and editorial board.

The *Journal* has been playing catch-up for as far back as I can remember, even before I joined the Editorial Board in 1998. But former editor-in-chief Ceres Pioquinto made great strides in raising the *Journal's* standards under the leadership of then Silliman University President Agustin Pulido, instituting the peer review process and an overseas editorial board in addition to formulating a

comprehensive journal policy. As soon as the *SJ* achieved timeliness with the 2013 issues, the editorial staff felt the need to revisit its mandate. Prof. Nelly Limbadan of the Ateneo de Davao University provided external expertise and facilitated a staff strategic planning. In this issue you will find an updated and more relevant guiding policy that resulted from that workshop.

On the occasion of the *Journal's* 50th anniversary, we produced not only a special Humanities issue and a special Science issue, but also an Index as well as Abstracts of everything that appeared in *SJ* over the first fifty years. This year marks the 60th anniversary of *Silliman Journal's* founding and we pay tribute to our very first editorial board composed of Dioscoro S. Rabor for Biological Sciences, J. Elliott Fisher for Social Sciences, Gerardo A. Imperial for Physical Sciences and Edilberto K. Tiempo for the Humanities. The late Pedro D. Dimaya was Editor-in Chief for all four issues in 1954 and kept that position until 1957. Managing editor was the National Artist for Literature, Edith L. Tiempo and the business manager was former Dean of the College of Education, Lino Q. Arquiza. A year's subscription (four issues) cost six pesos.

The very first papers included "The Use of English in Philippine Creative Writing" by Edith L. Tiempo, "T.S. Eliot and the Wrestle with Words" by Ricaredo Demetillo, "Major Influences on the Poetry of R. Zulueta Da Costa" by David V. Quemada, and "What Senior High School Students Think about Communism" by sociologist Agaton P. Pal. Practically none of the papers in that first year were from the natural sciences, but today the *SJ* is listed under the Science Citation Index (Thomas Reuters) and its publication was made possible by a grant from the James Chapman Research Foundation. James W. Chapman was a biological scientist who taught at Silliman University with his wife Ethel beginning in 1916. Chapman was at one time executive vice president of the university (appointed in 1941) and retired, along with his wife, in 1950. Friends and former students established the Chapman Research Foundation in 1953.

In *The Silliman Story* is stated:

Although James Chapman earned international renown for his work on ants at Silliman, research had taken a low priority until the late 1940s, as the Fenn Survey noted. The survey suggested that few faculty members understood what research entailed and urged them to undertake

projects allied with their disciplines. (Lauby, Udarbe, & Lauby, 2006, p. 66)

Anniversaries are always a time to look back and see how far we have come. They are also an opportune time to ask, "*Quo vadis?*" In the next issue, I shall endeavor to examine how we got from there (1954) to here (2014) and attempt to see the future as well as far as possible. No fanfare; no fireworks. Just reflection and contemplation.

Margaret Helen F. Udarbe

Editor







ART RE-CALL: *RIVERSCAPES IN FLUX* REDEFINES ART AS LIFE

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The exhibit *Riverscapes: IN FLUX*, a joint project of the Goethe Institut Philippines and the Metropolitan Museum of Manila, which opened on 14 March 2013 features the works of Southeast Asian artists focused on the changing riverscapes in the region. The Art Talk that followed on 16 March 2013 affirms the artists' general intention to document the changes in the environment brought about by technological advancements and globalization. The installations, addressing not only the sense of sight but of touch and smell among others, and expressly addressing socio-political issues are another set of artworks that defy the traditional idea of art, especially those exhibited in a museum. This paper explores the possibility that *Riverscapes: IN FLUX* embodies alternative aesthetics that Western philosophers like Nietzsche and Heidegger were looking for, as well as the Japanese aesthetics of *Wabi-Sabi*.

KEYWORDS: art, (alternative) aesthetics, Nietzsche, Heidegger, *Wabi-Sabi*

INTRODUCTION: THE AMBIVALENT POWER OF WATER

LAO ZI, REPUTED author of the manual for Daoism, the *Dao De Jing*, said that water is the element that symbolizes the Dao, the way of nature. It is the softest thing on earth, but because it is “humble” and “content” with the lowly places it tends to occupy, it is also the strongest. True enough, this element that always flows downward can put out fire, polish rocks and can—and have—caused great devastations in the history of humankind. Treat it well, the old sage seems to advise, and it will nurture you. Tamper with it, and it will drown you. Chapter 78 of the book says,

Nothing in the world
Is as soft and yielding as water.
Yet for dissolving the hard and inflexible,
Nothing can surpass it.
The soft overcomes the hard;
The gentle overcome the rigid.
Everyone knows this is true,
But few can put it into practice...

Goethe Institut-Philippines, together with the Metropolitan Museum of Manila, opened *Riverscapes: IN FLUX—An Exhibit on Southeast Asian Rivers as Sites of Life and Strife* on 14 March 2013. The exhibit’s Art Talk that followed on 16 March 2013 featured some of the participating artists and curators who spoke about their respective works and their insights on the life of the water body they focused their projects on.

Common among their narratives is their having to deal with the dual nature of water as a nurturing, yet a destructive force as well. Centering on water bodies significant to their lives, each one portrays the light and dark sides of their respective rivers, recalling times past when they flowed high, free and clean, and nourished the people who nestled around them with fish and other natural wonders, while presenting its lamentable state now, after pollution, flooding and semi-drought. The artists each refer one way or another to connections, not just between people and the environment but also the connections within one’s own being. They also touch on connections between people in the past and people in the here and now, even as they hope that their work will

reach out to the people in the future. They each strive to retrieve memories through their artwork, as they attempt to make others remember, and continue to remember, what has been—good or bad—because each memory is a piece of life, significant and vital to the future of all.

Thus, as the artists lament what is no more and surround their work with the aura of nostalgia, they too hope that the seeds they have planted through them will someday come into fruition as they—with the connections these works afford them—forge new ways of seeing the world, constantly presenting questions, problematizing about the “good” of modernization and globalization, pitting image after image of the not-so-good consequences that these have brought about.

THE ARTWORKS: SENSORY PLAY, MEMORIES, STORIES

Filipino artist-curator Chitz Ramirez introduces the works from the Philippines and describes the exhibit as addressing “sight, smell and sound.” They are, he says, an attempt to call people’s attention—even those who are not initially looking—to what is happening around, hoping that they, too, would take some action in order to alleviate the suffering. This intention, it turns out, is true not just of the pieces from the Philippines but of all pieces in *Riverscapes: IN FLUX*.

Goldie Poblador, creating a perfume bar (Figure 1) of Marikina River’s scent at different times, olfactorily chronicling the life

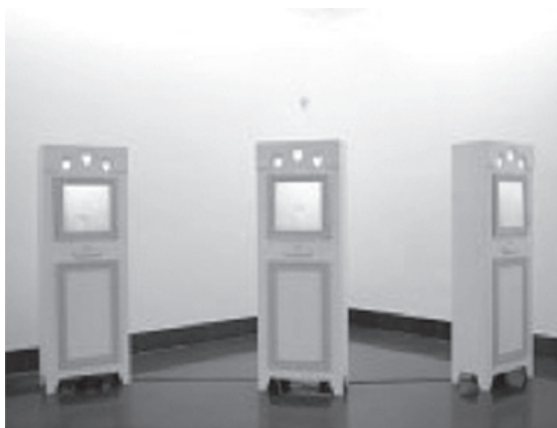


FIGURE 1. Goldie Poblador's *Perfume Bar*¹



FIGURE 2. Jon Romero's Sound Bridge

of the river from its murky past during the flooding of 2009 to its clearer present, connects the sense of smell with memories, saying that numerous stories could be told just by having a scent of something. Her beautiful hand-blown glass perfume bottles, displayed in light cabinets, carry on their stoppers the shapes of plants newly springing around the Marikina River after the 2009. Like the smells she gathers and hopes to spur the impulse to tell remembered stories, these bottles and their light cabinet also make one remember traditional crafts that are fast becoming passé because of commercially produced ones. But more importantly, they are also a kind of cheerful prayer for the garden she envisions to have around her community along the Marikina River, which would signify a healing of the devastation in the past.

Jon Romero's "Sound Bridge" (Figure 2) does not just connect impersonal physical structures but also nature and people, as the waterways and steel pipe railing invite people to touch, not just what is around them but touch other people as well. These create personal and non-tangible webs that give rise to childlike curiosity, wonder and joy, as high pitched vibrations sound off when people decide to connect in this manner through Jon's installation.

Som Sutthirat Supaparinya of Thailand, on the other hand, captures the genuine feeling of loss with her video installation, "My Grandpa's Route Has Been Forever Blocked," relating what to her, when she was a child, was a mysterious life of her grandfather who worked by the Ping River, managing the timber transport of teakwood from Chiang Mai to Bangkok. Her work shows the many (radical) changes in the river since her grandfather's time



FIGURE 3. Nguyen The Son's Mountain Links with Mountain, River Links with River

and how their experiences of the riverscape are different because of the rise of the dams around it. In spite of this, however, she says she has taken an interest in water as a power source in her desire to understand the many transformations of the Ping River.

Another cry of nostalgia is in the work of Vietnamese Nguyen The Son, "Mountain Links with Mountain, River Links with River" (Figure 3). The title is part of the lyrics of a traditional friendship song between China and Vietnam which share the Red River. His Vietnamese calligraphy of these words, done in relief, that hang atop the photographic chronicle of the Red River's deterioration provide a stark contrast between the clean elegance of the past and the images of the polluted state of the river at present.

Tran Luong, an artist-curator who is also from Vietnam speaks of his art projects, aimed at giving voice to underprivileged island people in Vietnam. He, together with kindred artists and cultural workers, encourage these people to draw and paint, since their writing capabilities have been limited by their situation—impoverished and far too removed from the mainland to be in the sphere of the government's consciousness. In this way, Tran Luong believes that the people can express better ("a picture paints a thousand words") than with written words, their issues about the sea that surrounds them. On the one hand, he relates, the sea is their nurturing mother, but on the other hand it has also become the waste bin of their unmindful living habits.

Of the other artists not present in the Art Talk, their respective works speak silent speeches, addressing the same issues that affect the rivers in Southeast Asia. The loudest of these non-verbal messages is perhaps Vietnamese Nguyen Thi Thanh Mai's "The

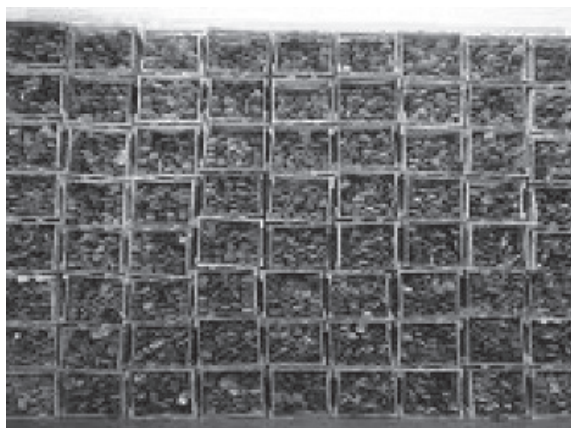


FIGURE 4. Nguyen Thi Thanh Mai's *The Vestiges*

Vestiges" (Figure 4). Sixty wooden crates that are piled up high, filled with remnants rubber and plastic slippers, worn out, carried away by the flood, each of them in turn carrying memories of a life, lost or deeply affected by catastrophes.² Each slipper, without a pair, can trace an invisible map back to a life and a whole story.

Jedsada Tangtrakulwong's "Chi River" uses a basket weaving technique, to make traditional fish traps resembling fishes or boats themselves, suspended on lines from the ceiling, that give the illusion of fish swimming underwater or boats floating on water. He aims to present the fishermen's way of life as fluid as these "swimming fish traps," transforming in its culture as the river on which their livelihood depends also undergoes changes.

Than Sok of Cambodia does the same for the farmer's way of life. His ten scarecrows (straw figures) called *dtingmul* (Figure 5) are reminiscent of the crops farmers tried to protect from animals in the past. But the 2011 flooding of the river left the farmers without crops to protect and the *dtingmul* is left standing, lonely and useless in the middle of the field.

Also from Cambodia, Vuth Lyno represents the life of the Tonle Sap River communities, with their modular houses on stilts that allow the inhabitants to escape the flooding each time the river rises. The 2011 flooding, though not a natural rise in the river, allowed them more leeway than others in coping with the changes in the ecological system. The people's devotion to Neak Ta, guardian of the forest and the river, may also have kept them more open to changing their lives, going with the flow of the river. Lyno's "Rise and Fall" is a soundscape that plays the life of the people around the river, with the sound of "fishing, storytelling,



FIGURE 5. Than Sok's
Middleground



FIGURE 6. Wok the
Rock's *Bandar Raya Snack*

and ceremonial practices for the river spirits.”³

Indonesian Wok the Rock (Woto Wibowo) created a snack kiosk of sucker fish (janitor fish) crackers (Figure 6) that symbolize the social status of the impoverished people living along the riverside. The sucker fish is considered inedible by the middle and upper class people, but here they are fished and cooked “as food of desperate measures.”⁴

Myanmar's Aung Ko features painted cloth boats and wooden toy ones as an homage to the boats, significant in the Irrawaddy river along which his village thrives, aware of the changes in the river. The boat, he says, “[confirms] the river as a place of transportation ... and as a livelihood, providing fish.”⁵ The toys are handmade boats that the people, especially the children, create because commercially manufactured ones are not available to them.

Such are the issues that *Riverscapes: IN FLUX* raises. As curator and art critic, Iola Lenzi says:

Major waterways [in Southeast Asia] ... are therefore sites of contestation, simultaneously claimed by partisans of development and conservation. Thus...[it] embodies struggle between modernity and tradition. Changing relationships to water also feed international tension as the different countries sharing it spar over control and resources. Global as it is, environmental stress is particularly acute in Southeast Asia where civil society is nascent and individuals and communities often have little say in government decisions...

....

Through art and the river-as-symbol, *Riverscapes: IN FLUX* tackles one of the most future-defining stresses of this generation, the quest for balance between economic needs and environment conservation. Whichever is responsible, a disregard born of social change, or an inability to control the river's fate, there is no doubting that the river, once ally and source of livelihood, is now a site of strife. The *FLUX* works, questioning rather than stating, sometimes poetic despite their dark stance, enlarge the project's ecological framework to offer intersecting perspective on the complexities of Southeast Asia today.⁶

The art purist raises an eyebrow at these words and incredulous, asks, "Art 'questioning'?" "Art reflecting the 'local'? A people's struggle?" Once again, the traditional concept of art is nudged and poked at as *Riverscapes: IN FLUX* puts canonical aestheticism in question.

However, amidst this art purism, there are thinkers in the early Western philosophical tradition who sought to stray to the sidelines and redefine the location of art in the dynamism of life.

HEIDEGGER AND NIETZSCHE ON AESTHETICS

The ontologist (turned existentialist) Martin Heidegger (1889-

1976), agreeing with Hegel (1770-1831) in declaring that great art has been dead for a long time, looks to Ancient Greece for inspiration in his attempt to rediscover art as *techne*, which is the fusion of knowledge (*episteme*) and skill. Art and crafts, therefore, were one and the same, not only for the ancient Greek artisan but also for the Medieval artists and craftspeople who worked “side by side on primitive scaffolding...”⁷ This fusion disintegrated, according to Heidegger, with the development of aesthetics during the Renaissance period that led to the separation between art that is “merely for looking” and crafts that usually serve a function in daily life. The ancient Greek, says Heidegger, had no use for aesthetics as their art was “lived”⁸ and as such, it was always a collective work that resulted in a state of *rapture*,

... a state of feeling explodes the very subjectivity of the subject. By having a feeling for beauty the subject has already come out of himself....⁹

....

Art belongs to a realm where we find ourselves—we are the very realm...Art does not belong...to what is well known to us, art is the most familiar...it is actual is the rapture of *embodying life*.¹⁰ (emphasis supplied)

Heidegger, writing on Friedrich Nietzsche (1844-1900), cannot but agree with the latter's claim that art is redemptive. In the foreword to *The Birth of Tragedy* (1871), Nietzsche says that “art is the highest task and the proper metaphysical activity of this life,” and not merely “a merry diversion.”¹¹ The whole essay that follows centers on Greek tragedy as the highest form of art that saves us from the Schopenhauerian¹² view of life as suffering. Nietzsche claims that Greek tragedy was born out of the dialectic, and eventually, a balance between the opposing influences of Apollo, the god of light and beauty, and Dionysos,¹³ the god that roams the dark earth, chaotic forests and incites frenzy and drunkenness in his followers, the Maenads. As Dionysos holds the truth of life and suffering, Apollo covers it with a veil of illusion, of beauty and brightness, that makes it bearable for us to live it a span of time longer. The artist who fuses these two influences¹⁴

... feels himself a god, he himself now walks about enchanted, in ecstasy...he is no longer an artist, he has become a work of art; in these paroxysms of intoxication the artistic power of all nature reveals itself as the highest gratification of the Primordial Unity.¹⁵

Just as Heidegger refers to the disappearance of the dichotomy between subject and object in rapture, here Nietzsche points to the loss of *principium individuationis* that separates the subject (artist) from the object (work of art) that sends back the artist to the original oneness with others and with Nature in the state of *ecstasy*.¹⁶ In Greek tragedy, this is represented by the chorus¹⁷—several individuals that spoke as one—which was the core of the original drama now lost. It is the chorus that embodied the Primordial Unity that dissolved individuality. The loss of this part of the tragic art, and the eventual loss of the real tragic drama, Nietzsche blames on too much theorizing on the part of the philosophers, as popularized by no less than Socrates¹⁸ and Plato just as, again, Heidegger blames too much aestheticism for the loss of great art in the modern times.

The urgency with which both Heidegger and Nietzsche call to their respective audiences for the rebirth of real art is born out of the separation between art and life. For both thinkers, art was appropriated by *thinkers* and was trapped in the realm of the mind, thus losing its connection with life, which in turn, lost its enchantment, or what Nietzsche calls drunkenness.

Heidegger in his pursuit of a revelation of Being writes,

[A]rt is the opening up of the Being of beings. We must provide a new content for the word “art” and for what it intends to name, on the basis of a fundamental orientation to Being that has been won back in an originary way.¹⁹

Heidegger saw in the poet (specifically Holderlin) the one who would lead us on the path toward the revelation of Being, one who is “always on the lookout for signs of the return of the festival.”²⁰ Heidegger says that the poet can help us *dwell* poetically. It is significant that he uses the word “*dwell*” rather than just “*live*.” We have to remember that Heidegger’s model of everything “originary” is Ancient Greece where (and when) art was *lived* in an environment enchanted by the mythical consciousness, which

sought the unity of all aspects of life. "Living," therefore, does not capture the meaning of "dwelling," which involves finding a space in which to build a house and care for it and its surroundings. It is, for Heidegger, a way of living that *cares* (Sorge) and through which one is also taken care of. Art, for Heidegger, must be able to do this for us.

For some reason, both Nietzsche and Heidegger, perhaps biased for their love of everything Greek,²¹ did not turn their eyes to the East for an alternative aesthetics, in spite of their critique of the way art has progressed (or regressed) in the Western scene. If the East rarely, if at all, allowed the mind to go its own path outside the realm of actually lived life, it is also unlikely that Eastern aesthetics would remove art from life.

WABI-SABI AESTHETICS

Wabi-sabi is a term that has lately become iconic in Japan, referring to things that are natural and simple, untouched by technology or commercial manipulation. The character for "wabi" points to something that is "empty" and "lonely," like when a person feels these emotions inside of her, while the character for "sabi" refers, on the other hand, to things that are worn out or decayed, like when an object that has been used or suffered weathering appears old and imperfect.²² The term *wabi-sabi* then reflects the unpolished, incomplete and imperfect, and is expression of an aspect of Japanese culture.²³

Deriving influences from the Buddhist tradition that has been transformed by Daoism in China and has become Zen in Japan, *wabi-sabi* speaks of a whole philosophy that forms its own unique aesthetics.

Buddhism, as founded by Siddhartha Gautama (c. 500 BCE) in Nepal, rests on the simple truth that people suffer because of our inability to accept that life is constantly changing. Everything is impermanent and yet, we cling to that which is temporary, desiring for it to last forever. Since this cannot and will not be, we suffer disappointments, frustrations, and fears, due to attachment. The cure, therefore, is the practice of detachment.

This virtue of detachment (in the sense of letting go or letting be, rather than apathy) is amplified in the Daoist prescribed *wei-wu-wei* or "doing-without-doing" or simply, "no-doing." Now

this is very different from “not doing anything.” “No-doing” is still active, yet it advocates the *right* amount of activity, nothing more, nothing less. This is because too much or too little activity will only lead to the opposite of one’s intended effect.

Everything, it says in the *Dao De Jing*, is constantly changing from *yin* (negative) to *yang* (positive) and back again. So dualistic thinking, which makes one cling to the positive, will not work and will only lead to suffering. Since the *yin* and the *yang* constantly shift, round and round, things only go by *reversal*. Any attempt to prolong the positive will inevitably lead to the negative. Thus, *wei-wu-wei*, the virtue of letting things be, of “no-doing.” Chapter 63 of the book says,

Act without doing;
Work without effort.
Think of the small as large
And the few as many.

Confront the difficult
While it is still easy.
Accomplish the great task
By a series of small acts.

The master never reaches for the great,
Thus she achieves greatness.
When she runs into a difficulty
She stops and gives herself to it.
She doesn’t cling to her own comfort,
Thus problems are no problems for her.

Combining these virtues from Buddhism and Daoism, Zen Buddhism, the Japanese form of Buddhism, has influenced *wabi-sabi* worldview. Wabi-sabi keeps to things that are closest to nature, as these are the things one could take after in practicing the virtue of “no-doing,” realizing that nothing in the world is permanent and that supreme wisdom lies in the following of the Dao. Andrew Juniper in *Wabi-sabi: The Japanese Art of Impermanence* (2003) lists eight principles of wabi-sabi aesthetics. Anything wabi-sabi is organic, free of form, rich in texture, plays between beauty and ugliness, muted in color, simple, mindful of space, and sober (as in calm and without illusions).

Juniper explains that to reflect impermanence and the continuous evolution from and devolution into nothingness,²⁴ which is the metaphysical foundation of Zen, *wabi-sabi* art uses only organic materials found in nature. Interesting and unique form—although hardly perfect or symmetrical as nature is often chaotic—is already inherent in them and need no imposition from the artist. They are rich in texture, left unpolished as they are. Being so, they are what mainstream ideas of beauty might describe as “ugly.” *Wabi-sabi* gets out of this opposition and shows that “the two [concepts] are one and the same and only divided by learned perceptions.”²⁵

Speaking of “learned perceptions,” the potter and craft aesthete Soetsu Yanagi (1889- 1961), championing the cause of folk or vernacular crafts, says of beauty, capturing the essence of *wabi-sabi*,

To “see” is to go direct to the core, to know the facts about an object of beauty is to go around the periphery. Intellectual discrimination is less essential to an understanding of beauty than the power of intuition that precedes it.²⁶

The colors of *wabi-sabi* art are also subdued, dark or gray but carrying the warmth of earth colors. All in all *wabi-sabi* art keeps to the simple and the basic. This way, it can emphasize space in the sense of being attuned to its surroundings so that it *blends* rather than stand out from its background or the place in which it is positioned. This way, *wabi-sabi* art becomes that way through which one remains aware that life is continuously shifting and becomes mindful of its real nature as impermanence. Lacking ostentation and keeping to the humble and ordinary, it avoids attachment. This is true Zen sobriety.²⁷

The principles of *wabi-sabi* aesthetics therefore show art to be relational. Unlike mainstream ideas of art, it does not aim to make an artwork assert itself against the world but rather consider the world in which the artwork lies. This is the meaning of art arising out of life and keeping in touch with life. Is this not, therefore, what Heidegger calls *dwelling*? Is this not also aligned to spirit of Nietzsche’s Primordial Unity?



FIGURE 7. *Wabi-sabi* tea bowl, image taken from Mark Smalley's *Earth Work*.²⁸

IN FLUX: ART AS LIFE

Describing art as a communal activity in the olden times, Heidegger writes that it is

... the *dissolution* of everything solid into a *fluid*, flexible, malleable state, into a *swimming* and *floundering*; the unmeasured, *without laws or borders, clarity or definiteness*; the boundless night of sheer *submergence*. In other words, art is once again to become an *absolute need*.²⁹ (emphasis supplied)

Heidegger has described art in adjectives that fit the description of water. Water, after all, is life, and that is what *Riverscapes: IN FLUX* tells us, as if responding to Heidegger's call for art as an *absolute need*. The exhibit embodies the alternative aesthetics that he, together with Nietzsche, and *wabi-sabi* principles seek:

1. the (re)union of art with life;
2. the dissolution of the artist as a subject and into Primordial Unity (that is, connections "between man and man"[*sic*] and "between man [*sic*] and Nature"³⁰ or the re-placement of art in the life of the community);
3. the use of natural materials for an ecological, environment-caring work of art; and
4. the redemptive value of art (Nietzsche's view of art as a way of bearing with the otherwise terrible life; the revelation of Being as a dwelling, for Heidegger; and the principle of sobriety—understanding the nature of reality

as impermanence—for *wabi-sabi*).

Art and life

Riverscapes: IN FLUX's installations are far from the traditional art exhibits in that they are not "merely for looking." The art projects, as mentioned previously, almost always evoke various sensible experiences and insights. All the artists reveal of having lived in the community from which they derived their inspiration for their artwork, making all their projects arise out of their lived experience. As a result, these works are reminiscent of crafts that are made and used by the members of the communities in which they have immersed themselves. Examples are Jedsada Tangtrakulwong's traditional fish traps, Than Sok's straw people, Vuth Lyno's miniature stilted house, Wok the Rock's fish crackers and Aung Ko's painted cloth boats and wooden toy boats. The wooden crates in Nguyen Thi Thanh Mai's "The Vestiges," are also part of crafts, apart from the innumerable lives the collected slippers signify.

Artists also derived inspirations from their own place of dwelling, literally, as in Than Sok's "Middle Ground" and Goldie Poblador's "The Fragrance of the Marikina River," or metaphorically, as in Som Sutthirat Supaparinya's "My Granpa's Route Has Been Forever Blocked," requiring her to re-live her grandparents' life along the Ping River.

All the artists, however, project these artworks from an actual lived experience of the changes in their respective riverscapes. All of them responded with creativity to the issues arising from globalization and technological advancement³¹ that raise dams and factories that block or pollute the rivers.

From Dichotomy to Unity

In the process of immersion within the riverside community for the making of their artwork, the artists cannot anymore lay sole claim to the creation of their art. Unlike ivory-tower artists who each creates as a solitary individual, the artists of *Riverscapes: IN FLUX* openly declare that their work arose either out of their life in the community and therefore was created with the people as source and background of the work, or out of the combined efforts of the members of the community, for the artist could not

have done the work alone. Wok the Rock for instance, writes:

This project surveys sucker fish under social, cultural and economical aspects. I researched about dishes that include sucker fish *created by people living along the riverside*, its nutritional value and also how it is traded. The result of the research is an installation of a food hawker kiosk selling sucker fish products, complete with brochures and video. *The project involved chefs and students of nutritional and food sciences.*³² (emphasis supplied)

Similarly, Cambodian Sim Sokchanlina relating his experience through his photographs entitled “Rising Tonle Sap” writes:

I took numerous trips up and down the Tonle Sap, and stayed at select sites with families for many days at a time....

... the quiet and fantastical photographs were staged *with the great help from the community in each location.*³³ (emphasis supplied)

In “Mountain Links with Mountain, River Links with River,” too, Nguyen The Son invokes the “people’s memories and imagination of the Red River”³⁴ still reaching out to the unities that transcend the boundaries of the individual beyond space and time.

Materials from Nature

It is easy to glean the *wabi-sabi* principle of using organic materials in the works involving people’s traditional crafts. In addition to those previously mentioned, this is evident in Jon Romero’s “Sound Bridge” and Goldie Poblador’s perfumes, bottles and light cabinets, even in Anothai Nitibhon’s “Loi Krathong” (water as video screen) and Pan Thao Nguyen’s “Mekong Mechanical” (parchment paper and cardboard album). However, this becomes problematic—albeit, surely philosophically productive if discussed—in video, sound and photographic installations.

In the sense that the object of the sound, video and photographic installations are elements of nature, perhaps, these works may still be considered to comply with the principle of being organic.

Yet, it is relevant to ask which exactly is the work of art: the river, for instance, taken from the artist's point of view? Or the video recording of the river?³⁵ This question requires contemplation and will no doubt bring about various aspect of art that are relevant to the study of alternative aesthetics. For the purposes of this inquiry, however, it is sufficient to bring to the fore that all the artworks address the issue of the environment as an organic whole, transforming and affecting their surrounding landscapes and architecture.

Art as Savior

It is true that these works, to the mainstream spectator, may seem strange and a far cry from those traditionally exhibited in museums. But that kind of art is, to use Nietzsche's terminology, merely Apollonian—invoking the dream state of the beautiful, hiding the terror that lies beneath, the darkness that is the foundation of existence. In Zen terms, it is merely illusory, a poor attempt at hiding the truth of *emptiness*.

These works, on the other hand, are truly tragic in Nietzschean context because they are able to show the harsh reality that is happening to the environment and how lives are adversely affected, made more terrible, by these phenomena. That these works confront the truth so that someone might pay attention and be encouraged to act and make the change in order to even just slow down the devastation, may be the redemptive value in them.

Heidegger speaks of art as a revelation of truth and of Being. In *Riverscapes: IN FLUX*, the works disclose new realities about rivers in Southeast Asia. They present new ways of coping, of living, and therefore, of *dwelling*. This process is vividly captured in Mahardika Yudha's "Shifting Live Objects into Inanimate," a found-object and video installation that portray the change "due to a shift in urban and social structures" Yudha adds:

While people in the south can still take advantage of the river's natural wealth, catching fish and mollusks, or hunting for lizards, the situation is different for people living downriver in West Jakarta. Because of the bad water quality, the people here have changed their profession and are collecting metal and plastic waste...

....

This project tries to convey the ecological change of Angke river in relation to rural, suburban and urban areas by mapping the different professions connected to the river...³⁶

Just like this, the *Riverscapes: IN FLUX* artworks all show the transformations, usually for the worse, of the various rivers in question. For these works to serve as reminders of the fleeting nature of things and of life itself, is this not the sobriety that Wabi-Sabi aesthetics prefers? In which case, in presenting failure and destruction, it also saves by the warning it gives, forcing people to cope with the changing environment by also changing their lifestyles.

CONCLUSION: RIVERSCAPES: IN FLUX RE-CALLS ART BACK TO LIFE

Chitz Ramirez describes the exhibited works as a kind of *call*. It is a kind of hailing to whoever will pay attention to join in the project, to find more connections that may one day lead to the change necessary for us to save the environment. It is a fitting description. Adding the prefix “re” to the word “call” allows for a play of words that enrich Chitz Ramirez’ insight about *Riverscapes: IN FLUX*. A “recall” is a remembering, as most of the works enjoins the spectators to remember different things: how the river used to be pristine, how the floods demolished homes and shattered lives, how to connect once again, how to hope. A “re-call” is also a repetitive calling. A persistent crying out to someone, to many, that the environment needs our help and that we need help. And most relevant to our discussion is the use of “re-call” to mean the calling of art back into life.

Heidegger in “The Origin of Art,” speaks of Van Gogh’s painting of a pair of old peasant boots. He says that the boots, after deep consideration, ceases, for the spectator, to be mere boots. They begin to portray a whole life of toil, a farmer’s life—laboriously physical, and dirty, as signified by the boots’ worn out state and the packs of mud that still cling to them. Heidegger says that in this way, “the artwork lets us know what shoes are in truth,” thereby contributing to the unconcealment or disclosure

(*aleitheia*) of Being.³⁷

As the works in *Riverscapes: IN FLUX* remains faithful in their portrayal of the disintegration of rivers, perhaps, they too will one day reveal to their spectators what rivers truly are.

POST-SCRIPT: MUSEUM AS A PLACE OF DWELLING

In the open forum during the Art Talk at the Metropolitan Museum of Manila, the director, Sandra Palomar, spoke of how the museum is also changing as the way art is conceived and created changes. Taking as an example Jon Romero's "Sound Bridge" that required water to pool on the floor, the museum, she explained, took risks and found ways to extend the parameters of art exhibition in order to accommodate its elements. This may be, to most, quite unconventional. But in this case, it became part and parcel of the kind of exhibit in place.

This brings to mind Soetsu Yanagi's project of creating a folk-art museum³⁸ based on the guilds, to exhibit artisans' craftworks. The museum, for Yanagi, is simply too removed from life and therefore alienates crafts which, by definition, are created within and for use in life.

In the case of *Riverscapes: IN FLUX*, the museum has proved that it can open its space to non-traditional art and allow engagements such as those the artworks invoke. In a sense, it has brought what is "outside," inside and thus might be said to have embodied Heidegger's *dwelling*. Given this, it might also be possible that the museum, as a closed space, is redefined and becomes an open space—a space *outside*, thereby bringing what is (used to be) inside, out there. The world-space therefore becomes the museum and art never ever has to be removed from life again.

There is so much to be discussed regarding the museum as a space of *dwelling*, in addition to the many unanswered (and unasked) questions this essay has hopefully evoked. It is hoped that insight-generating critical discussions continue as art and life are both redefined in relation to one another.

NOTES

¹ All pictures of *Riverscapes: IN FLUX* artworks are taken from Goethe Institut's *Riverscapes: IN FLUX* blog gallery, at <http://blog.goethe.de/riverscapes/pages/>

gallery.html

² It calls to mind the thousands of shoes, children's and adults', that lie on top of one another in a hollowed floor covered with a see-through panel, in one of the galleries of Yad Vashem, the Holocaust Museum in Jerusalem. For one who loves footwear, this was an emotionally jarring image. "The Vestiges" is the same, even worse for the closeness of its context.)

³ Vuth Lyno, "Rise and Fall," *Riverscapes: IN FLUX*, Vietnam: Goethe Institut, 2012, 45.

⁴ Woto Wibowo, "Banda Raya Snack," *Riverscapes: IN FLUX*, Vietnam: Goethe Institut, 2012, 55.

⁵ Aung Ko, "The Sights Viewed from Boats," *Riverscapes: IN FLUX*, Vietnam: Goethe Institut, 2012, 59.

⁶ Iola Lenzi, "Riverscapes In Flux, Southeast Asian Rivers as Sites of Life and Strife," *Riverscapes: IN FLUX*, Vietnam: Goethe Institut, 2012, 17.

⁷ Martin Heidegger, *Nietzsche (Volumes I and II)*. Translated by David Farrell Krell, New York: Harper SanFrancisco, 1991, 81.

⁸ *Ibid.*, 80.

⁹ *Ibid.*, 123.

¹⁰ *Ibid.*, 138.

¹¹ Friedrich Nietzsche, *The Birth of Tragedy*, Translated by Clifton P. Fadiman. New York: Dover Publications, Inc., 1995, iv.

¹² Arthur Schopenhauer (1788-1860), knowledgeable in Buddhism, declared that life is suffering. However, whereas the Buddha taught about the elimination of suffering, Schopenhauer denied that there can be any escape from it. This is because Schopenhauer attributes everything to the Will, which in the individual is manifested as desire, the will-to-live. One can only temporarily fight this through, interestingly enough, the contemplation of art or through asceticism. These are forms of saying "no" to the will-to-live, albeit all short-lived, because eventually, the Will prevails. Thus, Schopenhauer's pessimism. Nietzsche, a fan of Schopenhauer in the beginning turns this around and says we should, instead, say "yes" to this Will and transform it into a will-to-power.

¹³ Dionysos is not an Olympian god and Nietzsche acknowledges that he has been imported "from the East." Considered in Greek mythology to be a "twice-born" god, having been rescued by his father Zeus when his mother Semele, pregnant with him, asked to see the god of Thunder in his true form, and when the Titans abducted, cut him up and cooked him. By virtue of these, Dionysos is known as the god of death and rebirth and has associations with the Eleusinian Mysteries that centered on the theme of descending to and ascending from the

Underworld. The Dionysia is held in his honor, the dithyramb a poetic measure invented specifically for him. It was in the Dionysias that poets are called to give their best tetralogy, composed of three tragedies and one satyr. Thus, Nietzsche's penchant for the Dionysian spirit and his identification of Greek tragedy with this god.

¹⁴ In spite of Nietzsche's insistence that art is born out of the balance between the influences of Dionysos and Apollo, it is obvious that he really clings to the Dionysian part and his arguments in *The Birth of Tragedy* becomes confused as he tries to go back to this claim of balance. According to Aaron Ridley (in *Nietzsche on Art*, New York, 2007), in his later works, especially in *The Twilight of the Idols*, Nietzsche would refer to "yes-saying" to life as definitely "Dionysian."

¹⁵ Nietzsche, *op. cit.*

¹⁶ Identified with Dionysian drunkenness, a mass consciousness often felt while being in a crowd that shares one objective, as what happens to the audience in a stadium rooting for their team to win—complete stranger high-fiving or hugging when their team scores points. These are behavior that a sober individual, conscious of himself or herself as a lone individual, will not do.

¹⁷ It is said that the term has origins in "tragoidia" that means "he-goat-song" and that is why the original chorus were satyrs, wearing goat skins as costume. In the third chapter of *The Birth of Tragedy*, Nietzsche recounts the satyr Silenus telling Midas of the tragic existence of the human beings. In Greek mythology, satyrs are half-man, half-goat creatures who also dwell in the forests and have close affinities with nature, a fitting symbol for Nietzsche's Primordial Unity.

¹⁸ Nietzsche claims that Euripides killed tragedy by injecting into it the philosophizing individual. Euripides was a friend to Socrates and therefore was heavily influenced by the latter. Nietzsche has only disdain for the "Socratic aesthete" or the "theorizing man" who, according to him, killed action.

¹⁹ Martin Heidegger, *Introduction to Metaphysics*. Translated by Gregory Fried and Richard Polt. New Haven: Yale University Press, 2000, 140.

²⁰ Julian Young. *Heidegger's Philosophy of Art*. Cambridge: Cambridge University Press, 2001, 117.

²¹ One might add, "Dionysian" festival.

²² Taro Gold. *Living Wabi-sabi*. Kansas City: Andrews McMeel Publishing, 2004, 19.

²³ Leonard Koren, *Wabi-sabi: For Artists, Designers, Poets, and philosophers*. Point Reyes, California: Imperfect Publishing, 2008, 15.

²⁴ "Nothingness" or "emptiness" are not negative terms in Zen Buddhism. If anything, it is a denial of dualistic thinking that remains on the level of concepts, which in the end, proves as illusory as sensible experience. Contemplation on

“nothingness” or “emptiness” brings one to the realization that nothing exists on its own and all ideas serve only to differentiate and therefore, create an opposition. A phenomenon’s “positive” or “negative” value is not inherent in it but is defined only by the circumstances surrounding it. Attachment to dualistic thinking or dichotomous mind leads to negative emotions like avoidance, frustrations, fears, etc. In short, it leads to suffering.

²⁵ Andrew Juniper, *Wabi-sabi: The Japanese Art of Impermanence*. Tokyo: Tuttle Publishing, 2003, 110.

²⁶ Soetsu, Yanagi, *The Unknown Craftsman: A Japanese Insight into Beauty*. Adapted by Bernard Leach. New York: Kondansha International, 1981, 110.

²⁷ See Andrew Juniper, *Wabi-sabi: The Japanese Art of Impermanence*. Tokyo: Tuttle Publishing, 2003.

²⁸ Tea bowl image taken from Mark Smalley’s *Earth Work*, posted on 10 September 2011, at http://earthwork7.blogspot.com/2011_09_01_archive.html

²⁹ Martin Heidegger. *Nietzsche (Volumes I and II)*. Translated by David Farrell Krell. New York: Harper San Francisco, 1991, 87.

³⁰ These are Nietzsche’s phrases describing the Primordial Unity. See Nietzsche, *The Birth of Tragedy*. Translated by Clifton P. Fadiman. New York: Dover Publications, 1995.

³¹ Heidegger, in *The Question Concerning Technology and Other Essays* (translated by William Lovitt, 1977), explains that the totalizing effects of modern technology does not require us to go back to the idyllic past, discarding all that science has worked for thus far. Besides, this would be impossible, since the desire to solve the problem of technology is itself technological. We must, he advises, approach this question with openness and releasement or a “letting go” because in the end, the technological is another way of revealing and therefore understanding Being. In this, Heidegger truly sounds Daoist.

³² Woto Wiboto, *op. cit.*

³³ Sim Sokchanlina, “Rising Tonle Sap,” *Riverscapes: IN FLUX*, Vietnam: Goethe Institut, 2012, 41.

³⁴ Nguyen The Son, “Mountain Links with Mountain, River Links with River,” *Riverscapes: IN FLUX*, Vietnam: Goethe Institut, 2012, 29.

³⁵ Ms. Sandra Palomar, director of the Metropolitan Museum of Manila, brought up precisely this question in an informal gathering immediately following the Art Talk. Again, at this point, Heidegger’s inquiry into the nature of technology may come in handy, although it is not likely to bring absolute answers. Whichever the case may be, this particular issue in aesthetics is a rich source of insights and further questionings.

³⁶ Mahardika Yudha, "Shifting Live Objects into Inanimate," *Riverscapes: IN FLUX*, Vietnam: Goethe Institut, 2012, 53.

³⁷ Martin Heidegger, *Poetry, Language, Thought*. Translated by Albert Hofstadter. New York: Perennial Classics, 2001, 35.

³⁸ Yanagi, *op. cit.*, 105.

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ACCESS TO WATER AMID URBANIZATION: SMALL-SCALE PROVIDERS IN THE WATER SUPPLY CONTEXT OF CEBU CITY, PHILIPPINES

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Water supply is a most pressing need for barangays in Cebu City, Philippines, which are unable to obtain water services from the franchised utility. While many of the communities have been absorbing much of the city's expansion, the water utility has not been able to keep pace with this growth. The situation has prompted local private entrepreneurs to develop and invest in water systems to augment services. This paper presents data obtained from the mapping activities and the survey with close-and open-ended questions. It revolves around two major themes: an inventory of small-scale water providers who offer household connection services within the franchise area of the water utility, and the level of satisfaction of communities served by operators. The crucial importance of local water distributors in addressing the service provision gap is evident. Their presence is highly appreciated despite the relatively higher tariff which comes with the service. This situation has raised the providers' stature in the neighborhood to something akin to a patron as loyalty blocs are boldly defined in their favor. They established the business to share water resources and

fulfill a community need. This study lends a deeper understanding of the current water landscape amidst the rapid urban growth of the city.

KEYWORDS: informal sector, water, sanitation, urbanization, community

INTRODUCTION

STUDIES HAVE SHOWN that many urban populations in developing countries are still without access to water and sanitation services despite development efforts made in this sector (Snell, 1998; McIntosh, 2003). The situation has prompted local private entrepreneurs to develop and invest in water systems as an alternative means of water provisioning. Snell (1998) wrote that in Africa, Latin America, Caribbean, and Asia, small-scale water distributors have been able to fill the service provision gap. They have reduced the public burden on utilities, and have proven to be effective in scaling-up water and sanitation levels and quality. Similarly, Solo (1998) implied that private water entrepreneurs are well able to respond to local conditions. The capacity of the private sector to provide a competitive and appropriate service to households without access to utility connections has also been established by McIntosh (2003) in his study on Asian water supplies. The tariff charged by providers is in line with the type of service and the size of the initial investment. Given this, they are likely to proliferate in underserved communities with low connection rates and low levels of service (Conan & Paniagua, 2003). In urban poor areas, local water providers are appreciated for their entrepreneurship and their ability to share their water resource even if services may still be considered inadequate by international standards (Kjellen & Mcgranahan, 2006).

Earlier reports would lead one to say that private sector participation in water provisioning and its ability to respond to the local water resource situation are a significant concern for development planners. Water is a basic necessity and inadequate provision of this need has wide repercussions. Such inadequacy, according to Kjellen & Mcgranahan (2006), has serious implications for women and children. Women bear the bigger share of the

inconvenience, infectious diseases are spread, and children are likely to suffer from illnesses. Similar observations were noted by Cuesta (2007) and Bartlett (2003) pointing to the relationship between water and sanitation provision and nutritional status. In particular, they found that the nutritional status and well-being of children are compromised and the situation is severe in poor urban settlements where there exist other environmental concerns. Issues that relate to water and sanitation, however, go beyond health and nutritional considerations. How government can improve existing infrastructures, promote public-private partnerships, and develop other surface water alternatives to improve water service delivery must therefore be seriously considered.

In Cebu City, Philippines, the proliferation of private water providers is evident albeit little data that can be found in this regard. As in other developing nations, low-income households bear the greatest bulk of inconvenience as a result of intermittent water supply and the utility's low coverage areas. Residents face difficulty in availing of water even in communities where the utility's piping network has reached their area.

In this paper, the sector will be referred to as small-scale water providers (henceforth, SSWP). They are classified as small-scale because the types of services they offer are limited, production capacity is minimal, technical innovations and capital investments are lower, and the number of households served is essentially small compared to the area of coverage as well as the number of households served by the formal utility. The consideration for a formal provider is on the context of having a franchise. This gives the formal utility control over the water resource in their franchise area. SSWPs are considered "informal" because they do not have a franchise, nonetheless, some of them are recognized by the water utility and are given permit to operate a water system. Each one operates independently from others and is usually driven by different motivations for doing so. While others have established the business to share their resources and fulfill a community need, others have set up water systems for business purposes (Nolasco, Alburo & Abrenica, 2009). Whether community residents are satisfied with the quality of water and the services availed of from SSWP are concerns which this paper will explore. Specifically, the study is confined only to level-3 SSWPs, or providers that offer direct household connection services. Data obtained shall form

part of the database on water and sanitation services in Cebu City and hopefully provide an appreciation of the relative importance of the informal water sector in meeting underserved niches of the water and sanitation market.

With funding from the Commission on Higher Education, Office of Policy, Planning and Information (CHED-OPPPI), through the Philippine Higher Education Research Network (PHERNet), the project was undertaken to validate earlier reports. The themes presented in this paper revolve around two objectives: [1] to make an inventory of all functional and newly-established level-3 informal water systems, and [2] to assess consumers' level of satisfaction in the areas of adequacy of supply, water quality, and service cost. It is not the purpose of the study to compare the quality of services that a provider delivers but rather to gain information on the usual practices that level-3 operators generally employ across sample sites. Among others, lessons learned can be used as guides for other communities to emulate, or provide practical insights to health practices and values that promote harmony, filial responsibility, and strong family and community relations.

The undertaking is just one among the many scientific endeavors that intend to address the various issues on water sustainability, and a crux for many relevant policy debates. Broadening the awareness of stakeholders and stimulating discussions on how best to develop an enabling policy that ensures a sustainable access to safe water supply are imperative. The topic is along the line of the UN millennium development goal set for the water sector that by 2015 half of the global population shall have access to safe and potable water. As contained in the Medium-term Philippine Development Plan (MTPDP), substantial increases in the population who have access to safe supply of water must have been fulfilled by 2015 (Government of the Philippines, National Economic and Development Authority, 2001). This implies that participation of local government units in the provision of water, improvement and expansion of existing infrastructures to improve access, and effective public and private partnerships are necessary steps toward the fulfillment of the MTPDP.

Both the public and private sectors are expected to benefit from the research because improvements in water supply and in the quality of water will redound to effective water service delivery, thereby contributing to the well-being of families and

communities. Recognizing the serious implications of the problem of access to water, it is imperative that water discourse is focused on addressing pressing issues in the local setting to ensure culturally relevant policies. It is for this reason that impressions from consumers are given special attention. The main premise here is that the informal water sector complements the services of the franchised utility and undeniably provides an effective means to provide underserved communities access to water resources.

THE WATER SITUATION IN CEBU CITY

Cebu City, the capital of the province of Cebu and regional capital of the Central Visayas region of the Philippines, has a population of 798,809 (Philippines, National Census and Statistics Office, 2010). The city forms the core of Metro Cebu which includes three other rapidly growing cities and six municipalities. Cebu City is politically subdivided into 80 barangays, the smallest political unit in the Philippines, 50 of which are classified as lowland and the remaining 30, upland. The term lowland should not be understood to mean as strictly non-elevated areas because parts of these barangays are elevated and are sometimes beyond the service capacity of the formal utility. The lowland barangays cover approximately 17 percent of the city's land area while upland barangays account for 83 percent (Etemadi, 2000). Despite the rural character of upland or mountain barangays, these are officially classified as urban. As currently applied in the Philippines, an urban settlement, regardless of its demographic, social and economic characteristics, refers to any barangay, situated in a city or municipality that has an average population density of at least 1000 per square kilometer (Flieger, 2000).

Fifty lowland and two upland areas, out of the 80 barangays in Cebu City, are serviced at varying degrees of percentage by the Metropolitan Cebu Water District (henceforth, MCWD), the franchised utility and the only recognized formal water utility in Metro Cebu being the franchise holder. In the face of growing water demand, attempts to expand water services have not measured up to expectations due to implementation problems and other serious limitations. Foremost of these constraints is the critical state of existing groundwater resources which could not meet the demands of a growing population and a booming economy.

Since the 90s, water supply which is derived mostly from the groundwater aquifer has rapidly been depleting. Heavy reliance on the already deteriorating groundwater and over-extraction of the resource has brought about the serious problem of seawater intrusion into the coastal aquifers in Metro Cebu (Alingasa, 2000). The paper by Alingasa (2000) establishes the criticality of the water situation in Cebu. Further, studies conducted by the University of San Carlos Water Resources Center point to a similar direction; an alarmingly low water table and neglected watersheds. Engelen (2003) reported that the growing water demand has led to further exploitation of ground water resources, both by government and private entities.

MCWD also faces other constraints in servicing all households within its franchise area. Some areas do not have defined access roads where pipes can be laid out, or the barangays are situated at an elevation higher than the service reservoir. Other constraining factors faced by the utility are right-of-way limitations or the absence of right-of-way agreements with lot owners, losses incurred in distribution which result in a low return of investment, and lack of funds for expansion. Presently, MCWD can only supply roughly 38 percent of the water demand, thus depriving a large segment of the population with potable water (Nolasco, 2003). To address the service provision gap, informal water distributors have emerged to complement the services of the franchised utility. The Cebu local government and MCWD have expressed reservations on the existence of private water providers. However, knowing full well that the utility cannot satisfactorily fulfill its mandate under the franchise, it is presumed to have a lax attitude towards the private water sector to prevent serious implications that might arise as a result of a water crisis. The situation would have been different if the water sources upon which Cebu City depends were adequate to serve the needs of residents.

Section 37 of Presidential Decree 198 mandates that a private water distributor is required to secure clearance from the barangay where the business is located, secure a business permit from the City, obtain a permit to operate from the National Water Resources Board (NWRB) which is the designated water-resource regulator in the Philippines, and pay a levy to the formal water utility, being the franchise-holder and deputy to the NWRB. NWRB has the sole authority to issue the right to operate a water source which is obtained through a water permit. The office also grants franchises

or licenses to sell to all water distributors. Applications for water permits are either coursed through MCWD or filed directly with NWRB. These are evaluated for compliance under the water policies for Metro Cebu which have been formulated by MCWD and approved by NWRB through Board Resolution No. 002-1106. This set of policies gives MCWD the right to oppose water permit applications that are deemed prejudicial to its operations (Corporate Planning Division-MCWD, 2009).

To determine the distribution of SSWP in Cebu City, a rapid assessment was conducted by the Asian Development Bank in 2003 and the Building Partnerships for Development in Water and Sanitation in 2009. Approximately 447 SSWPs operating at varying levels of service in 43 barangays were noted in the 2003 study. Given the variety of services that the SSWPs provide, they have been classified into three categories based on Snell (1998): Category A are providers (resellers, community-managed standpipes) operating in partnership with the formal water utility; Category B are those who bring in piped water in advance of utility expansion (deep-well owners); and Category C are providers that sell water to augment the utilities' services (deep-well owners, mobile water truckers, water carriers). Providers claim that they operate legally with the necessary permits, including a local government clearance, business permit, authorization from the MCWD or agreements with the NWRB. Periodic tests are reportedly undertaken by accredited laboratories to ensure the safety and quality of the water. Of the 43 barangays in the study, only 10 barangays were serviced by level-3 operators (Nolasco, 2003).

The study conducted in 2009 was confined only to level-3 SSWP found in 14 barangays, which were classified into three categories: [1] level-3 providers organized for the sole purpose of doing business as a water entrepreneur, [2] water cooperatives organized for the purpose of providing potable water for a specific community, and [3] highly informal level-3 providers, usually household-based, catering to consumers located proximate to the water source (Nolasco *et al.*, 2009). While categories 1 and 2 are generally presumed to have legal personalities, the third category is highly informal as they are not covered by the regulation of the formal water utility and are responses to expressed individual needs of the community usually prodded by neighbors and friends. The high cost of installation and the requirement of MCWD for a

lot title upon which the house is built are two major constraints faced by residents in low-income communities since many of them are informal settlers who do not have land titles. MCWD has, however, shown some flexibility on the land title requirement, that is, water connection can be installed as long as the applicant obtains a written consent from the lot owner (Etemadi, 2012). Despite this, many households still face difficulty in completing other administrative and legal requirements. To validate earlier reports and determine the extent to which the number of level-3 operators has increased or decreased are significant concerns in this paper.

Community organizations are common phenomena in the Philippines particularly when government operations have been decentralized and localized in recognition of the role of civil society and community participation in development pursuits. Studies in other countries found that partnerships between communities, non-government organizations (NGOs), and water service providers are capable of bridging the service delivery gap. Lidonde (2008) and Dickson (2006) implied that the poor can pay for the water service as long as efficient management of the system and accountability and transparency are guaranteed. In a study conducted in Southwest Cebu, Abrenica (2011) noted that community-managed water supply systems play a crucial role in increasing access to water in both upland and lowland barangays. Her analysis gave a premium to the significant role played by stakeholders in a specific locale in helping make the breakthrough stories of community-led and managed water facilities.

METHODOLOGY

The methodology employed for this component is governed first and foremost by the identification of barangays in the city of Cebu with functional level-3 water operators. Mapping activities, with the assistance of a geographic information system specialist, were conducted in 55 barangays to determine functional and newly-established level-3 water systems operating in various areas. Based on the mapping results, a survey among consumers was conducted but only in five areas due to time and resource limitations which could not allow for a more expanded coverage. The choice of sites had to be decided on the basis of the number of

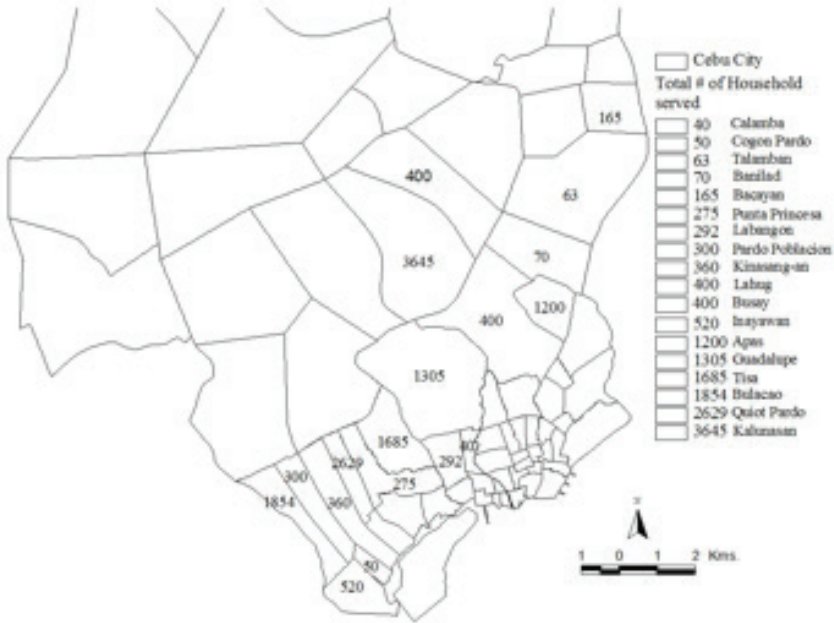


Figure 1. Locations of level-3 sswp and total number of households served per barangay.

households served and geographic representation.

An instrument with both open-ended and close-ended questions was administered to 30 participants from each area, accounting for a total of 150 interviews. The survey employed a random selection approach. A given location in the area was identified as the starting point and respondents were spaced out at five, that is, every 5th house after the last interviewed participant was targeted for the next interview. Apart from determining the household demographic and socioeconomic characteristics, questions that relate to water sources and utilization were asked. Quantitative data were analyzed using the SPSS software and are presented in the succeeding sections using simple frequency distributions. On the other hand, responses to open-ended questions were collated and clustered to generate the common impressions of beneficiaries about the services they availed. In this study, the sample households are equivalent to the ethnographer's traditional "native informants."

RESULTS

Inventory of Cebu City Level-3 SSWP

Eighteen out of 55 barangays visited in Cebu City were found to have level-3 operators in 2013. The number is, however, presumed to be higher if all of the real estate operators and homeowners' associations had been considered in the study. In some areas, the team was refused outright either because their personnel had a heavy load of work or they were suspicious of the study's intentions. The barangays in the study include Apas, Bacayan, Banilad, Bulacao, Busay, Calamba, Cogon Pardo, Guadalupe, Inayawan, Kalunasan, Kinasang-an, Labangon, Lahug, Pardo Poblacion, Punta Princesa, Quiot Pardo, Talamban, and Tisa. Three of these are classified as upland (Busay, Kalunasan, Bacayan) and the remaining 15, lowland. The total number of households served per area ranges from a low of 40 to a high of 3,645 (Fig. 1).

A total of 55 level-3 operators servicing a highly uneven number of households is presented in Table 1. The number of households served per operator ranges from a low of four to a high of 1,401, for a total of 15,253 households. The LGU-owned system which provides free water services to a public elementary school in Barangay Kalunasan is counted here as one household. Ownership of the systems is varied and categorized into private proprietorship (42), community/cooperative-owned (5), non-government organization-initiated (5), and LGU-initiated and community-managed (3). The private proprietors usually started out as deep-well owners whose water systems were designed to serve only the owner's household. Over time, they established and expanded the water business in response to a strong felt need by their community. Some of them are driven by business agenda and are formally organized with the necessary permits to operate the water supply system, while others are highly informal and generally do not possess a legal personality. Relationships in the latter are anchored mainly on feelings of community rather than clear-cut business agenda. The community/cooperative-managed systems, on the other hand, have evolved from a community's desire to operate and manage their own water system and at the same time generate income to be used for maintenance and other operating expenses. The NGO-initiated systems were established

TABLE 1. Level-3 SSWP by barangay, type of ownership, year established, number of households served, and cost per cubic meter.

No.	Barangay and No. of Level-3 SSWP	Ownership	Year Established	No. of Households Served	Cost per m ³ in PhP
1	Apas (1)	Private	2010	1200	15.00
2	Bacayan (2)	Private	2002	150	40.00
		Private	2005	15	40.00
3	Banilad (1)	Community	2010	70	12.00
4	Bulacao (5)	Private	2004	600	20.00
		Private	1999	700	18.00
		LGU and community	2005	250	12.50
		Community	2012	4	14.00
		Private	2005	300	16.00
5	Busay (4)	NGO	2008	176	20.00
		NGO	2007	46	20.00
		NGO	2008	88	20.00
		Private	2011	90	28.70
6	Calamba (1)	Private	2004	40	12.60
7	Cogon Pardo (1)	Private	2011	50	18.00
8	Guadalupe (4)	Private	1995	20	50.00
		Private	2006	25	30.00
		LGU and community	2011	60	66.75
		Private	2012	1200	15.00
9	Inayawan (2)	Private	2006	220	20.00
		Private	2006	300	18.00
10	Kalunasan (9)	Community	2003	413	15.10
		Community	1975	580	15.00
		Community	2004	760	13.00
		NGO	1992	300	13.00
		Private	2007	1401	28.70
		NGO	2008	152	11.00

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TABLE 1. Level-3 sswp by barangay, type of ownership, year established, number of households served, and cost per cubic meter.

No.	Barangay and No. of Level-3 sswp	Ownership	Year Established	No. of Households Served	Cost per m ³ in PhP
10	Kalunasan (continued...)	Private	2009	25	25.00
		Private	1996	13	13.00
		LGU	2012	[school]	—
11	Kinasang-an (2)	Private	1997	280	13.50
		Private	1995	80	16.00
12	Labangon (7)	Private	2000	5	20.00
		Private	2004	10	30.00
		Private	2006	213	12.50
		Private	2004	20	30.00
		Private	2011	9	30.00
		Private	2002	20	30.00
		Private	2010	15	30.00
13	Lahug (1)	Private	2010	400	28.70
14	Pardo Poblacion (1)	Private	1996	300	16.00
15	Punta Princesa (1)	Private	2005	275	11.25
16	Quiot Pardo (7)	Private	1990	60	25.00
		Private	1997	1109	13.60
		Private	1997	150	15.00
		Private	2006	1000	11.00
		Private	1994	140	15.00
		Private	2009	60	11.00
		Private	2012	110	11.00
17	Talamban (1)	Private	2005	63	12.50
18	Tisa (5)	Private	2005	1000	13.50
		Private	2000	150	15.00
		Private	2007	520	27.00
		private	2004	11	35.00
		Private	1999	4	35.00

with external funding support. The LGU and community-managed systems usually emerged and developed through a Congressional Representative's Community Development Fund (CDF). Management of the system is entrusted to the beneficiary community.

One can also see in Table 1 that the oldest operating level-3 provider, which started operations in 1975, is a cooperative-managed water system. It is situated in an upland area and is currently servicing 580 households. The youngest of the systems was made operational only in October 2012 and is already servicing 1,200 households in a lowland barangay. On average, the 55 level-3 SSWP have been in operation for roughly 10 years. The water tariff set by operators across the 18 barangays range widely, from Php11.00 (US\$0.26), the lowest reported cost, to Php66.75 (US\$1.55) per cubic meter. The rates apply only to volume of monthly consumption which does not exceed 10 cubic meters. Additional charges are required for increments in consumption. The high rate of Php66.75 for one level-3 SSWP is attributed to location and elevation factors as these require more power for water delivery. In this study, the mean and the median costs are computed at Php21 (US\$0.49) and Php16.00 (US\$0.37) per cubic meter, respectively. Individual meters are used to determine the monthly household water consumption. The data show that the SSWP rates appear to be relatively higher when compared to the rates of the formal water utility.

In Cebu City, the MCWD charges a monthly minimum of Php136.00 (US\$3.16) for the first 10 cubic meters. Increments in consumption are charged much higher. Consumption of 11-20 cubic meters and 21-30 cubic meters, for example, has an add-on of Php15.00 per cubic meter and 17.65 per cubic meter, respectively. Operators generally source out their water supply from a deep well, and a submersible pump is, in most cases, used to extract water with power ratings ranging from 1hp-10hp. The material used in the delivery of water is either galvanized iron pipe, because it is reportedly not prone to leakage, or polyethylene pipe because it is cheaper and does not rust.

Comparing the current data with the 2003 and 2009 rapid assessments, this latest study clearly shows an uptrend in the number of barangays with level-3 operators, from 10 and 14 in 2003 and 2009, respectively, to 18 barangays in 2013. Consequently, the number of operators has also increased, from 25 in 2003 to

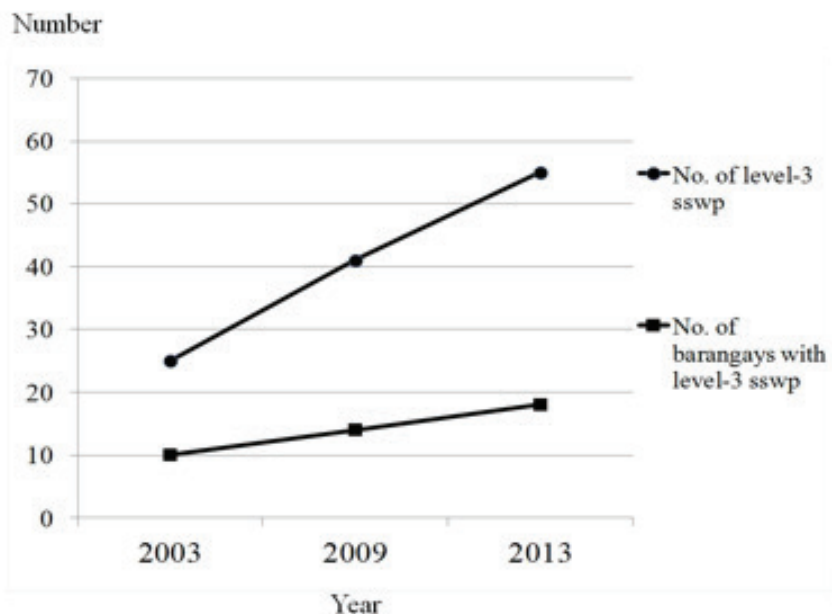


FIGURE 2. Number of level-3 SSWP and number of barangays by year

41 in 2009 and 55 in 2013 (Fig. 2). The percentage of increase in level-3 operators in 2009 is computed at 64 percent and in 2013, 34 percent.

Background Information

The primary socio-demographic data analyzed in this section were collected through personal interviews of 150 household-consumers from five sample sites to give context to their impressions regarding the services availed of from level-3 SSWPs. The survey area covers five barangays, namely Bulacao, Kalunasan, Lahug, Quiot Pardo, and Tisa. In Table 2, one can see that the proportion of female respondents (68.7%) across sites is considerably greater than the males (31.3%)—owing perhaps to women being primarily concerned with water and sanitation issues. Less than a fifth of the sample are employed. Close to 50 percent are self-employed, particularly respondents from Lahug and Kalunasan. Those who are unemployed account for 26 percent and is more pronounced among respondents in Bulacao and Quiot Pardo. The estimated monthly family income of the

sample households across sites are usually between PhP 5,000—PhP 11,999 (US\$116—US\$279). Only six percent of the sample has a monthly family income of PhP18,000 (US\$418) and above.

Consistent with the regional data for Central Visayas, the mean household size is five. In reference to length of stay in the barangay, majority of the respondents have lived in the community for more than seven years. House owners represent 86 percent of the sample across sites but only 42.7 percent of them also own the lot on which their dwelling units are located. The materials used in the construction of the houses are predominantly made of semi-concrete materials (58.7%) particularly those who live in Quiot, Bulacao, and Tisa. Some concrete structures (16.7%) were found but the figure registered for those with light-material houses is greater, at 24.7 percent.

TABLE 2. Study sample by background information (in percent).

	All	Bulacao	Kalunasan	Lahug	Quiot	Tisa
<i>Gender</i>						
Male	31.3	36.7	23.3	23.3	43.3	30.0
Female	68.7	63.3	76.7	76.7	56.7	70.0
<i>Employment</i>						
Unemployed	26.0	33.3	16.7	20.0	33.3	26.7
Employed	16.7	26.7	3.3	6.7	23.3	23.3
Self-employed	46.0	30.0	66.7	70.0	26.7	36.7
Public employee	4.7	3.3	3.3	3.3	10.0	3.3
Business	3.3	—	—	—	6.7	10.0
Pensioner	3.3	6.7	10.0	—	—	—
<i>Estimated Monthly Family Income</i>						
<5,000	18.0	6.7	16.7	13.3	30.0	23.3
5,000 – 8,999	36.7	50.0	43.3	36.7	23.3	30.0
9,000 – 11,999	29.3	30.0	23.3	33.3	26.7	33.3
12,000 – 14,999	4.0	6.7	—	6.7	3.3	3.3
15,000 – 17,999	6.0	3.3	6.7	3.3	10.0	6.7
>18,000	6.0	3.3	10.0	6.7	6.7	3.3
Mean HH Size	5.0	5.0	6.0	5.0	6.0	5.0
<i>Length of Stay in Barangay</i>						
< 1 year	0.7	—	—	—	3.3	—
1 – < 3 years	5.3	—	3.3	—	13.3	10.0
3 – < 5 years	8.7	6.7	3.3	13.3	10.0	10.0
5 – < 7 years	6.7	3.3	3.3	13.3	13.3	—
>7 years	78.7	90.0	90.0	73.3	60.0	80.0

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TABLE 2. Study sample by background information (in percent).

	All	Bulacao	Kalunasan	Lahug	Quiot	Tisa
<i>Own Lot</i>						
Yes	42.7	60.0	73.3	36.7	13.3	30.0
<i>Own House</i>						
Yes	86.0	83.3	90.0	100.0	83.3	73.3
<i>Type of House</i>						
Light material	24.7	23.3	26.7	40.0	13.3	20.0
Semi-concrete	58.7	70.0	43.3	46.7	73.3	60.0
Concrete	16.7	6.7	30.0	13.3	13.3	20.0
No. of Cases	150	30	30	30	30	30

TABLE 3. Study sample by water utilization and consumption (in percent).

	All	Bulacao	Kalunasan	Lahug	Quiot	Tisa
<i>No. of years using SSWP</i>						
< 1 yr	12.7	—	10.0	26.7	6.7	20.0
1 to 2 yrs	10.0	3.3	16.7	23.3	6.7	—
>2 to 3 yrs	8.7	—	—	20.0	10.0	13.3
>3 to 5 yrs	22.7	3.3	20.0	26.7	36.7	26.7
>5 yrs	45.3	90.0	53.3	3.3	40.0	40.0
No Response	0.7	3.3	—	—	—	—
<i>Consumption/month in m³</i>						
Median	13	14	12	11	15	12
<i>Cost/month in PhP</i>						
Median	287	276	232	338	244	270
<i>Hours of supply/day</i>						
Mean	22	18	24	24	19	24
Median	24	22	24	24	24	24
No. of Cases	150	30	30	30	30	30

Water utilization and consumption

Presented in Table 3 are data on water utilization and consumption by barangay. The number of years respondents have availed of the level-3 service varies, ranging from less than one year (12.7%) to

more than five years (45.3%). Of the five sites, Bulacao registered the highest number of households which have been using the level-3 water system for more than five years. The volume of water consumed per household per month ranges from 11 to 15 cubic meters. While the median monthly water consumption across sites is estimated at 13 cubic meters, the median monthly consumption cost is Php287.00 (US\$6). Level-3 SSWP in the five sample sites provides continuous supply of water from 18 to 24 hours a day. The mean hour of supply per day is 22 and the median, 24 hours.

Shown in Table 4 are the consumers' reasons for availing of the service and their impressions on water quality. Relative to other reasons, proximity to the house registered more mentions, accounting for 45 percent of the total respondent-consumers. It appears that Lahug and Kalunasan have the most number of consumers who live near the installed water systems. No MCWD line in the locality (32.7%) is another reason that emerged from the study and this is more pronounced in Lahug and Bulacao. While those who mentioned that water is affordable account for 31 percent of the sample across sites, more than a fifth of them cited that water obtained from the level-3 SSWP is of better quality. This is indicative of the residents' acceptance and positive impressions brought about by the water systems made available in the community where they live. A significantly high proportion of them gave a rating of good in the aspects color (98%), smell (97.3%) and taste (87.3%). Although the figure registered for those who gave a rating of poor in the three aspects is very low, such data indicate that there are SSWPs which need to improve the quality of water they provide to consumers.

As a whole, not much difference can be seen in consumers' responses to the question of adequacy of supply, service cost per cubic meter, and water quality. The water supply is perceived to be adequate, the service cost is generally acceptable, and water quality is rated as good. When asked whether they will recommend the system to a neighbor who does not have access to water, the majority of the sample responded in the affirmative. It is presumed, however, that there are concerns in the water system in Bulacao which have not been addressed by the operator, the reason why only 17 percent of them responded positively. Interestingly, many of them would still opt for the current service even if the formal utility would be made available.

TABLE 4. Study sample by consumers' reasons and impressions on the adequacy, service cost, and quality of water (in percent).

	All	Bulacao	Kalunasan	Lahug	Quiot	Tisa
<i>Reasons</i>						
Proximity to house	44.7	13.3	70.0	76.7	30.0	33.3
No MCWD line in the locality	32.7	53.3	6.7	63.3	3.3	36.7
Affordable	30.7	3.3	26.7	10.0	56.7	56.7
Better water quality	22.7	13.3	6.7	3.3	40.0	50.0
Cooperative	6.7	—	20.0	—	—	13.3
MCWD application declined	4.7	6.7	—	—	16.7	—
Others	9.3	10.0	6.7	3.3	3.3	23.3
<i>Multiple response</i>						
<i>Adequacy of Supply</i>						
Adequate	88.7	63.3	100.0	100.0	80.0	100.0
Impermanent	11.3	36.7	.0	.0	20.0	.0
<i>Service Cost/Rate</i>						
Reasonable	88.7	86.7	96.7	96.7	80.0	83.3
Not Reasonable	11.3	13.3	3.3	3.3	20.0	16.7
<i>Water Quality</i>						
<i>Color</i>						
Good	98.0	96.7	100.0	100.0	96.7	96.7
Poor	2.0	3.3	.0	.0	3.3	3.3
<i>Smell</i>						
Good	97.3	96.7	100.0	100.0	93.3	96.7
Poor	2.7	3.3	.0	.0	6.7	3.3
<i>Taste</i>						
Good	87.3	83.3	100.0	100.0	66.7	86.7
Poor	2.0	6.7	.0	.0	3.3	.0
No Response	10.7	10.0	.0	.0	30.0	13.3
<i>Would recommend system to neighbor</i>						
Yes	57.3	16.7	60.0	80.0	50.0	80.0
<i>Would continue to avail of service</i>						
Yes	54.0	60.0	76.7	63.3	33.3	36.7
No. of Cases	150	30	30	30	30	30

Consumer-Users' feedback

This section presents the summary of responses to the open-ended questions. Consumers presumed that resource-sharing is the driving motivation of providers who, over time, have expanded

their systems to accommodate requests from households. Providers are perceived as having established good relations with community residents. The personalized relations that providers in the sample communities have with their clients and the flexible regimen adopted are viewed as positive. Level-3 SSWPs are appreciated for putting up the system although resident-consumers look forward to some improvements particularly in ensuring the safety of the water. To their knowledge, periodic treatment with chlorine is being done by operators to guarantee the potability of the water. They know, however, that the periodic treatment may not be an assurance that the water is safe for drinking. Hence, some of them purchase drinking water from an alternative source such as bottled water. When asked about their willingness to pay for the water service, the sample population responded in the affirmative as long as water is safe and affordable, and available for 24 hours.

CONCLUSION

Similar to other studies done on the informal water sector, this study, albeit limited in scope, has demonstrated the relative importance of local private water entrepreneurs to the overall picture of the water supply context in Cebu City. Water is undeniably a scarce resource in Cebu City, Philippines, hence a deepening concern for the issue is crucial. The continuous growth of population has consequently led to the growing water demand. Many urban populations are left without access to water, a situation which has impinged on sanitation services and has therefore opened up a market for formal or informal business. It is clear that the decision to avail of water services is not a matter of choice among residents but a matter of need.

The growing number of level-3 SSWPs in Cebu City from 2003 to 2013 and the positive outlook among consumers towards this development are revealing findings. The viability of the business has been established in this study. Operators cater to consumers who are generally using polyethylene or galvanized iron pipes for household connection from constructed production wells. Consumers are generally satisfied with the adequacy of water supply, quality of water, and monthly tariff. The benefits currently enjoyed by them provide a justification for the higher cost per

cubic meter. Willingness to pay is apparent as long as access to safe and potable water is guaranteed. Consumers would still opt for their present level-3 provider even if the franchised water utility expands its network to their location. Impressions obtained from consumers indicate their positive level of satisfaction for the services provided them by level-3 operators.

A noted consequence of the SSWP phenomenon is the relevant socio-economic and political role played by this sector in the lives of community residents. The qualitative responses imply that consumers have inevitably accrued a sense of loyalty and patrimony to their provider. This can be attributed to a provider's efficient response to a primary need for water as evidenced by the high satisfaction rating given by consumers to the services availed of. This perceived loyalty will become a pertinent variable in the current water crisis debate in Cebu City.

As earlier implied, the increasing urban population converging with the decrease in groundwater source necessitates more government regulation. This would require mechanisms that favor more and even expand the operation of the franchised water utility over private operators. Even if this scenario is yet to unfold, loyalty blocs in favor of the existing private water providers are already taking shape. The consumers are open to recommending their current water providers to other community residents. The majority of these users are even willing to continue patronizing the SSWP even if the franchised utility will open local water connections. The journey of communities from having scarce water in the past to having their own household connections is something that defines the kind of loyalty they have to private water providers which inevitably characterizes them as similar to local patrons. As in many local water stories, community members have a high regard for individuals and institutions that have significantly contributed to the provision of this much-articulated need. This translates to loyalty to the provider of the service.

Hence, it must be understood that the sustainability of local water supply systems is highly dependent on the idiosyncratic socio-cultural, economic, technological, and political landscapes unique to each community. The experiences showcased in previous local water studies as well as in this current undertaking underscore the defining role of local personalities that carve the breakthrough in the installation and maintenance of water systems and their continued operation over time.

This study has shown that it is crucially informative to appreciate consumers' impressions regarding the services availed of from local private water entrepreneurs. This is indicative of residents' acceptance of the reality that the formal water utility encounters difficulty in providing services to all of the areas within its franchise and that the business established by the informal sector has provided them an equally satisfying option. Despite the limitations brought about by an environment with inadequate access to water, the immediate end of satisfaction still stands out among those who participated in the interview.

Access to water and sanitation is a fundamental right that government must guarantee and protect. However, despite the fact that the informal water sector has proven to complement the services of the formal utility, a mechanism to safeguard the water resources in the City must still be vigorously pursued by the local government so as not to jeopardize the already deteriorating water resource. It is clear that addressing the water and sanitation concerns of underserved communities will redound to better public health which, in effect, will result in contributing to the well-being of the entire Cebuano community, and a better Philippines. Though the study has inevitably contributed to the growing discourse on the socio-political dimensions of water, there is much to be said about how the resource defines the lives of residents in underserved communities. Current political landscapes in both developed and developing nation-states are urged to respond to the world's increasing need to access safe and clean water. An in-depth inquiry that elaborates and interrogates the socio-political fabric of the current water discourse is therefore worth pursuing.

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REPORTAGE AND FRAMING THE LINK BETWEEN CLIMATE CHANGE AND BIODIVERSITY IN THE *PHILIPPINE DAILY INQUIRER* IN 2012

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This study determines the reportage and framing of news linking both climate change and biodiversity by the leading national daily, *Philippine Daily Inquirer*. A total of 326 online articles from the archives of www.inquirer.net from June to October 2012 were content analyzed for length, presence of graphics or audio or video clips, treatment, and section placement. 'Frames' or the themes used by the writers to present the issue were surfaced through open and thematic coding. The research was guided by framing, the second-level of the Agenda Setting Theory by Maxwell McCombs and Donald Shaw (1972).

Only 79 (24.23%) directly linked climate change with biodiversity. These articles were predominantly presented as straight news stories under the news section of the newspaper with an average of 100 to 500 words per article. Writers used seven frames to discuss the interlinked issues, namely (in order): biodiversity for climate change; human survival; cost of biodiversity; twin environmental challenges; call to action; survival of ecosystems; and survival of species. Only a few articles used the frame 'call to action' or specifically pointed to

the need for laws, policies, or social movements that would mitigate climate change and arrest biodiversity loss.

Climate change affecting biodiversity and vice-versa must be expounded more to make the public better understand and appreciate their interdependence. Given that both climate change and biodiversity are considered as environmental challenges that pose a lot of risks, media can also focus on framing articles that would motivate policy formulation and implementation about these interlinked issues.

KEYWORDS: online journalism, framing analysis, content analysis, science communication, environmental communication, climate change, biodiversity, interlinked or interconnected issues

INTRODUCTION

Rationale of the Study

THE MEDIA ARE increasingly being encouraged to create a balance in the reportage of climate change linked with other environmental concerns. This is because environmental issues and concerns are intertwined and how these are being reported influences how these issues are understood by the public. If environmental issues are reported separately, their linkage or relationship is obscured.

In 2010, marking the celebration of the International Year of Biodiversity, the Convention on Biological Diversity launched the *Rio Conventions' Ecosystems and Climate Change Pavilion*. The pavilion provided a venue for the three Rio Conventions held during the 1992 Earth Summit to convene and address the interdependence of environmental issues. Further, the pavilion served as a platform to highlight the links among the following: the *Convention on Biological Diversity* that focuses on conserving biodiversity; the *United Nations Convention to Combat Desertification* that aims to lessen the effects of droughts; and lastly, the *United Nations Framework Convention on Climate Change* that targets the reduction of greenhouse gases in the atmosphere (Rio Conventions' Ecosystems Pavilion, 2010).

The Ecosystems Pavilion stressed the importance of integrating the biodiversity agenda with that of climate change and land

degradation. Heads of agencies and international organizations discussed the ways that all three agendas could be implemented in support of sustainable development (Rio Conventions' Ecosystems Pavilion, 2012).

A press release by CBD reiterated that climate change, biodiversity loss, deforestation, and land degradation should be addressed as single interlinked challenges rather than independent compartmentalized approaches. As His Excellency Ryu Matsumoto, Minister of Environment for Japan, pointed out: "The three conventions are inseparable. Climate-based sea level rise will cause coastal areas to suffer, including the destruction of coral reefs, mangroves, marine ecosystem, which will again contribute to further climate change" (Rio Conventions' Ecosystems Pavilion, 2010).

The need to interlink climate change reportage with biodiversity was made as early as in 2008. Dr. Ahmed Djoghla, Assistant Secretary General of the United Nations and Executive Secretary of the United Nations CBD, wrote for the *ASEAN Biodiversity Magazine* (Djoghla, 2008):

Climate change and loss of biodiversity are two major planetary threats facing mankind... loss of biological diversity is one of the most serious effects, and at the same time, driver, of climate change. The relationship between biodiversity and climate change is a two-way street. Yes climate change is an important driver of biodiversity loss. At the same time, however, the loss of biodiversity and the deterioration of natural habitats contribute to climate change. (p. 16)

STATEMENT OF THE PROBLEM

In the Philippines, the Association for Southeast Asian Nations Centre for Biodiversity (ASEAN ACB) recognizes the role of the media in disseminating information regarding environmental issues. However, during the 16th National Press Forum hosted by the Philippine Press Institute (PPI) on 23-25 April 2012 in Manila, the head of ACB's communication and public affairs department admitted that biodiversity loss does not attract enough media and public attention compared to climate change

and other political issues in the country (Inciong, 2012). The head pointed out that the Philippine public seems to be unaware of the connection of climate change and biodiversity.

Hence, during the National Press Forum attended by the researchers, ASEAN ACB also tapped the Philippine print media to help promote the reportage of climate change and biodiversity. The ASEAN ACB, together with the German Agency for International Cooperation (GIZ), officially launched with PPI the Special Award for Best Reporting on Biodiversity and Climate Change. This award officially became part of the Civic Journalism Awards held at the National Press Forum in June 2013. As this was a new approach and partnership to connect climate change and biodiversity, the researchers wanted to be the first to also monitor as well as to evaluate the reportage and framing of these interlinked issues within that same year (2012).

The role of the print media and all forms of media for that matter is crucial in defining certain risks specially climate change (Rhomberg, 2009). The media industry helps in making climate change and global warming a national issue. Even the entertainment industry has produced films and documentaries such as the *An Inconvenient Truth* (Guggenheim, 2006) and the *11th Hour* (Connors & Petersen, 2007) just to mainstream climate change and make it a popular issue.

Carvalho and Burgess (2005) developed a framework that describes the complexity of media coverage and science policy interactions. The first phase of news production includes the framing process. The media frames or organizes certain elements of the discourse to make certain understandings, interpretations, or perspectives more dominant than the others. After deciding on the frames of the news, they encode messages that now move on to compete for attention in the public sphere. The last phase is the consumption of news media coverage, characterized by different personal understandings and behavior.

How the media shape or frame facts and information is an important factor in increasing the public's understanding of science and their engagement and concern with many critical scientific issues (Boykoff, 2008). The role of the mass media in communicating climate change had been described by Rhomberg (2010), Boykoff (2008), Di Francesco and Young (2010), and Billet (2010). However, applying frames or framing analysis is rarely done on these news (see de Boer, 2007; Wilhelm Rechmann &

Cowling, 2010) as framing is more commonly used in analyzing sociological and political issues.

Premised on the need to enhance the reportage of climate change linked with biodiversity in mainstream media, this study may be among the first to content analyze the reportage of interlinked issues in a leading national daily. How does the newspaper really link these issues in environmental reporting?

Further, this may be the first framing analysis done on the interlinked reportage of climate change and biodiversity. How does the newspaper frame both issues? What are the concepts that usually surface in the reportage of these interlinked issues? Lastly, the analysis involves the electronically-archived online version of the PDI, unlike previous studies that content analyzed hard copies of newspapers.

The country's newspaper of record, *Philippine Daily Inquirer* (PDI), was chosen because it is the country's most-read newspaper with a national readership of 47.5 percent, according to the latest survey by the Nielsen Co. as of 2012. Founded on 9 December 1985, it boasts a circulation of 260,000 copies during the weekdays and 280,000 copies during the weekends. It had also won over 200 awards, making it the most awarded and possibly the most credible newspaper in the country today.

Objectives of the Study

This research aimed to determine how the *Philippine Daily Inquirer* (online version), the top Philippine national newspaper, covered and framed stories linking climate change with biodiversity.

Specifically, the study aimed to answer the following objectives:

1. Determine the number of articles on climate change and biodiversity, and an interlink of these two issues;
2. Determine the coverage of the interlink of the two issues in terms of [a] number of words of each article; [b] presence of graphics or audio or video clips; [c] treatment of the story; and [d] categorization of articles under PDI's sections; and
3. Surface and discuss the themes/frames used in the articles interlinking climate change with biodiversity.

Theoretical and Conceptual Framework of the Study

This study focused on framing, the second level of the original Agenda Setting Theory by Maxwell McCombs and Donald Shaw (1972). According to McCombs and Shaw, the media play a big role in shaping and filtering reality. By concentrating on some issues, they lead the public to think which ones the public should consider as more important than the others. Further, the media have the ability to influence how the public thinks about the said issues.

According to McCombs, Shaw, and Weaver (1997), agenda setting is actually composed of two levels. The first level of agenda setting is all about the media transferring the salience of issues to the public agenda or telling people what to think about. The major assumption here is that the more visible the issue is in terms of coverage, the more the public perceives them as important. The second level of agenda setting deals with the media telling people how to think about an issue. Basically, the second level hypothesizes that the way an issue is 'framed' affects the way the public thinks about it.

Framing, which can be simply defined as the way in which news is brought, is a choice made by writers. Thus, the media, through frames, can influence the perceptions of the audience towards news not only by telling them what to think about but also how to think about them (McCombs, Shaw, & Weaver, 1997). Hence, media framing becomes vital in setting public opinion.

In his paper "Framing as a Theory of Media Effects," Scheufele (1999) said that framing can be used to broaden the understanding of media effects. For instance, in reporting on climate change, some news writers might frame it as a highly political issue, while others might discuss it in an environmental way. According to Kweon (2000), factors that may affect how media frame stories include certain government policies, media type, and specificity of topics that reporters want to portray. Thus, using framing devices, media can set the agenda or portray an issue either positively or negatively.

In this study, it was presumed that the media agenda or what the media report and frame in a positive way would likely influence public agenda as being important or salient. Framing could influence and even mold public discourse and opinion, eventually influencing policy formation and implementation (Figure 1).

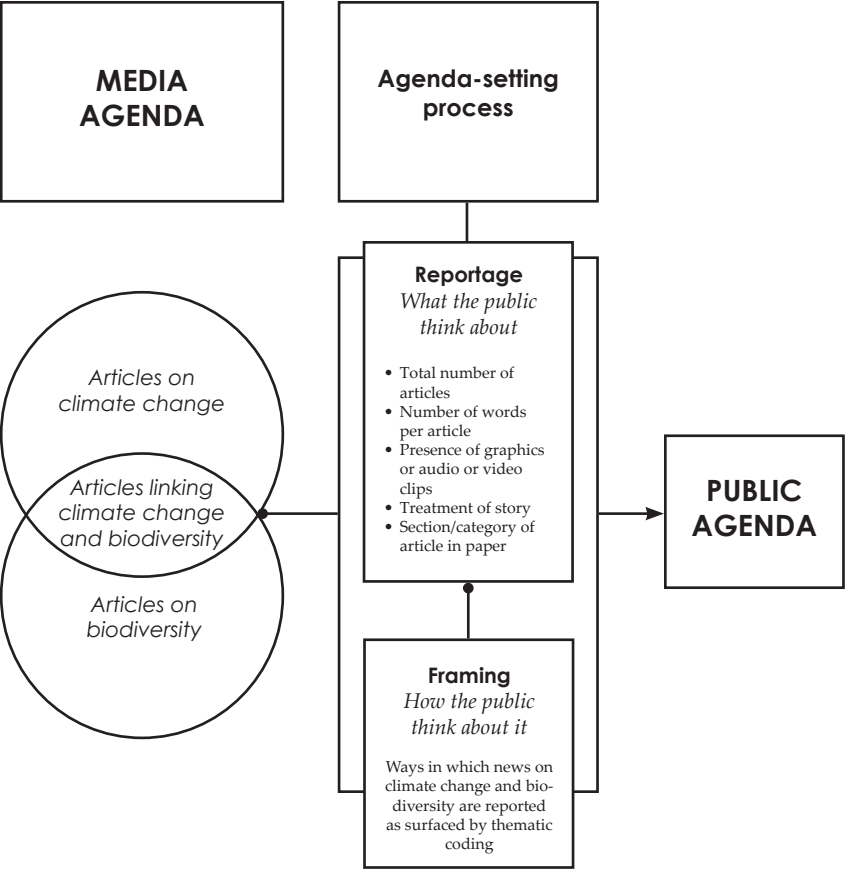


FIGURE 1. Conceptual framework of the study

METHODOLOGY

This research was a case study on a national newspaper (online version) using content analysis to determine the coverage and framing of stories linking biodiversity and climate change. Purposive sampling was done in retrieving articles on climate change and biodiversity from inquirer.net featured from June to October 2012.

The aforementioned time period was chosen because most of the important environmental events and celebrations were held within the selected months. Further, the ASEAN ACB, together with the German Agency for International Cooperation (GIZ),

have just officially launched with PPI the Special Award for Best Reporting on Biodiversity and Climate Change on 23 June 2012. Hence, this month marked the start of the engagement of the media on writing articles linking these two environmental issues if they wanted to compete in the Civic Journalism Awards for 2013.

Articles were retrieved from the news archive of PDI's www.inquirer.net using Google search optimizers. The words "inquirer.net: climate change," and "inquirer.net: biodiversity" were typed in the Google search box.

A total of 326 articles on climate change and 93 articles on biodiversity were initially retrieved and read, but only 79 articles that linked biodiversity with climate change were eventually used as the final sample.

Articles were content analyzed for reportage and framing. A coding sheet was used to generate the descriptive coding. Reportage included: total number of articles; number of words of each article; presence of graphics or audio or video clips; treatment of the story; and categorization or section of articles under PDI sections (news, entertainment, lifestyle, technology, business, opinion, and global nation, etc).

For the framing analysis, the researchers did not set a priori categories. Rather, they surfaced (or generated) the themes or "umbrella" frames based on the concepts and excerpts recorded in the coding sheets. The concepts from the articles were organized and categorized into more overarching themes or frames by looking at the similarities in the articles' lines of discussion. The final frames that surfaced included the following: biodiversity for climate change, human survival, cost of biodiversity, twin environmental challenges, call to action, survival of ecosystems, and survival of species. These are discussed in more detail in the Results and Discussion section.

RESULTS AND DISCUSSION

Reportage

Retrieved were 326 articles for the search on climate change and 93 articles for biodiversity. When these were analyzed, 79 articles linked climate change and biodiversity or 24% of the articles

on climate change and 85% of the articles on biodiversity. This indicates that only about one-fourth of the articles on climate change reported actually related the issue with biodiversity.

The increasing number of articles on biodiversity that related the latter with climate change may be a good indication that writers on biodiversity are more likely to connect it with climate change.

The highest number of articles linking biodiversity and climate change was retrieved in June (31.65%), followed by July and August (21.52% each); September (13.92%); and October (11.40%) (Table 1).

June had the highest number of articles possibly because the Philippine Environment Month was held this month along with two international events—the World Environment Day and the United Nation's Conference on Sustainable Development Rio+20. Some of the articles published during this month included “Qualified LGUs Get Php 60M in Incentives to Achieve UN Millennium Goals”; “Prosperity for all Must be at the Heart of Rio+20”; “A Sustainable Future for Filipino Children”; and “UN Summit Issues Environment, Poverty Blueprint.”

The trend in the number of published articles actually coincided with the environmental events held during the particular month. Important nationwide and worldwide events attracted high media attention especially if high ranking officials were involved. Rhomberg (2010) reported that issues get high media attention because of the involvement of Elites. Reportage of environmental issues begins to decline in terms of quantity when no events are being held or no urgent environmental concerns are being raised.

Nevertheless, political issues continued to be the highlights such as the Philippine president's choosing of the next chief justice, which was the leading news story topic in June 2012.

TABLE 1. Number of articles linking biodiversity and climate change per month, (June-October 2012)

Month	Number of Articles	
	(N=79)	(%)
June	25	31.65
July	17	21.52
August	17	21.52
September	11	13.92
October	9	11.39

Note: 24% of the 326 articles on climate change and 85% of the 93 articles on biodiversity

TABLE 2. Summary of articles linking climate change and biodiversity under Inquirer.net sections (June-December 2012)

Inquirer.net Categories	Number of Articles (N=79)	Number of Words (N=51,642)	Articles with Supplements (N=33)	(%)
News	45	28,373	22	66.67
Editor's Pick Banner Story	1	1,152	1	3.03
CDN Community	2	791	0	0.00
CDN News	5	1,841	0	0.00
CDN Opinion	4	3,906	0	0.00
Headlines Metro	2	571	0	0.00
Headlines Regions	9	6,716	5	15.15
Headlines Nation	4	3,537	2	6.06
Latest News Stories Regions	3	1,139	1	3.03
Latest News Stories Nation	8	4,587	7	21.21
Latest News Stories World	7	4,133	6	18.18
Business	10	5,393	4	12.12
Columnists	1	591	0	0.00
Headlines	3	1,150	0	0.00
Featured Gallery	3	1,768	3	9.09
Inquirer Features	2	1,550	0	0.00
Editor's Pick	1	334	1	3.03
Opinion	14	12,281	1	3.03
Global Nation	6	2,726	3	9.09
Lifestyle	4	2,869	3	9.09
Sunday Inquirer Magazine	1	997	0	0.00
Stories	3	1,872	3	9.09

Note: Supplements mean graphics, pictures, and audio-video clips.

Majority of the articles were short as befitting straight news, and they were also featured under the news section. Over half (54.43%) of the articles contained words ranging from 501 to 1,000. Almost half (41.77%) contained graphics. More stories were written as news (41.77%), followed by opinion (24.05%), and features (18.99%).

When the articles were analyzed under the different sections of the newspaper, understandably, majority (56.96%) of the articles were clustered under the news section in the inquirer.net. Under the news section, many of the news stories were under the headline regions or a round-up of what was going on in the regions (Table 2).

The number of words followed the same trend. The news section had the most number of words (54.94%), followed by the opinion columns (23.78%), and business (10.44%) sections. Meanwhile, more articles with supplements (graphics or photos or even video/audio clips) were found under the news section (66.67%); followed by the business section (12.12%); and Lifestyle (9%) and Global Nation (9%) sections.

Framing

Seven frames that writers used in discussing the stories linking climate change with biodiversity were surfaced from the articles. Contrary to the researchers' expectation, the articles were not framed in terms of survival of ecosystems or species, which are actually the bases of the definitions of biodiversity. Biodiversity is defined broadly as the "variety of life on earth" or the variability among living organisms from terrestrial, marine, and other aquatic ecosystems, and the ecological complexes of which they are part (International Union for Conservation of Nature, 2010).

In fact, few articles were framed as survival of ecosystems (11.39%) and survival of the species (6.33%). Rather, the predominant frame was 'biodiversity for climate change' (26.58%), followed by 'human survival' (18.99%) and 'the cost of biodiversity' (16.46%). Some articles were also framed as twin environmental challenges (13.92%) and call to action (12.66%) (Table 3).

The predominant frame used by the writers was 'biodiversity for climate change' or that biodiversity can mitigate the effects of climate change and vice-versa. The writers angled their stories

to show that conserving biodiversity or aquatic and terrestrial species could arrest climate change.

The second most used frame, ‘human survival’, reports on the negative effects of climate change on the services and products derived from biodiversity. The third frame, ‘cost of biodiversity’, shows how biodiversity and ecosystem services could possibly exacerbate the effects of climate change or could incur ‘cost’ because of the loss of biodiversity. The fourth frame, ‘twin environmental challenges’, links climate change and biodiversity as issues of equal weight or importance with no cause-effect relationship as in the previous frames. The ‘call to action’ frame, on the other hand, tackles policies, campaigns, and other social movements for the environment and biodiversity. ‘Survival of ecosystems’, the sixth frame, highlights how biodiversity loss may also negatively affect ecosystems in general. Lastly, the frame ‘survival of species’, shows how climate change has negative effects on the preservation of different animal and plant species. These frames are discussed with exemplars in the next section.

TABLE 3. Frames for articles linking climate change and biodiversity

Frames	Number of Articles N=79	Percentage
Biodiversity for climate change	21	26.58
Human survival	15	18.99
Cost of biodiversity	13	16.46
Twin environmental challenges	11	13.92
Call to action	10	12.66
Survival of ecosystems	9	11.39
Survival of species	5	6.33

Frame 1. Biodiversity for Climate Change

This frame was surfaced from 21 articles, explaining that biodiversity can mitigate the effects of climate change and vice-versa. Concepts from the three articles include sustaining island ecosystems, endemic tree species for creating carbon sinks, and collection ponds as a natural way for flood control management.

The exemplar article written by Raoul T. Geollegue of the *Cebu Daily News* posted by www.inquirer.net on 9 June 2012, stressed the importance of trees in trapping harmful greenhouse gases that

contribute to climate change. Quoting Geollegue:

The trunk, branches, twigs, roots and leaves make up the tree's biomass which is basically cellulose made up of carbon, oxygen, and hydrogen molecules. As such, they store large amounts of carbon dioxide...

This frame was also used by Juan L. Mercado in his article entitled "Overlooked Paradox" posted on 31 July 2012. While the first one focuses on trees, Mercado, points to mangroves as mitigators. According to Mercado, coastal forests are one of the least studied ecosystems, but they are the ones that show a lot of promise in ensuring protection against the harsh effects of climate change. Mercado wrote that the role of ecosystems is one overlooked paradox.

... But the 2004 Indian Ocean tsunami and sea-level rise from global warming changed all that. They highlighted the neglected but increasingly needed 'bioshield' role of 'beach forest-mangrove belts'.

... Typhoon Frank in 2008, Tropical Storms Ondoy and Pepeng in 2009, and Typhoons Pedring, Quiel, and Ramon in 2011 exposed the lack of protective greenbelts. Beach forests thrive under full sunlight, inadequate water and poor nutrient conditions. They're also useful for rehabilitation...

Other articles using this frame pointed to the use of renewable energy as alternatives to coal and other fossil fuels that contribute to the greenhouse gases in the atmosphere. The complete list of articles using this frame is found in Appendix 1.

Frame 2. Human Survival

The theme, 'human survival', was surfaced from 15 articles. In these articles, writers discuss that climate change inflicts negative effects on the products and services derived by humans from biodiversity (e.g., food, clothing, shelter and others). Another angle is that humans, as part of biodiversity, are heavily affected by climate change in the form of natural disasters.

For instance, climate change was correlated with vector-borne diseases, pollution, torrential rains, deluges, drought, and food production.

Some excerpts from the articles that manifest this framing are as follows:

"The increase in the number of dengue cases may be attributed to the constantly changing climate brought by global warming as well as congestion in urban areas," said a WHO report. ("DOH: Stay Clean, Observe Hygiene to Control Dengue," 2 June 2012)

"This is already the [impact] of global warming, of climate change," Lim told reporters here. "You might have noticed that even when it's not raining, when there's high tide, some parts of the city, including the [business district], are already flooded." ("Dagupan Under Water in 15 years, Says Mayor," 11 July 2012)

In the local scene, the Philippines too faced the threat of extreme temperature. In another article posted by *Inquirer* on September 2012, the Department of Agriculture (DA) ordered regional field units to prepare for the El Niño that was expected to hit the country in October 2012. The DA planned to create El Niño Action Teams as early as possible to oversee rice production. As quoted from the article written by Jeannette I. Andrade:

Each El Niño Action team will then assess the rice situation in each region, obtain updates from the appropriate regional or national government agencies and map out activities or intervention to the impending impact of the dry spell and other climate change-related phenomena to rice production based on various possible scenarios.

In both articles, the focus was not just on extreme heat affecting agricultural lands but on the effect of extreme climate changes on crop production. Food is one of the most important products derived from biodiversity. Food is also a basic human need, and man relies heavily on food for survival. Appendix 2 shows the complete list of articles using this frame.

Frame 3. The Cost of Biodiversity

The third predominant frame, the ‘cost of biodiversity’, was surfaced from thirteen articles. In this frame, the writers highlight how ‘costly’ is biodiversity loss as affected by climate change. In many of these articles, the writers pointed to coal mining and overpopulation as causing imbalance in the ecosystem. They also pinpointed global food production, especially livestock production, as _____.

Some excerpts from articles that used this frame are as follows:

The report also characterized the global food system as “unfair and unsustainable,” saying that volatile prices make life hard for small-scale producers and consumers, the system was increasingly dominated by a small number of immensely powerful corporations, and the system was contributing significantly to climate change as well as being highly vulnerable to its impacts. (“Filipino Moms Most Concerned About Food They Serve to Families, Says Survey,” 23 July 2012)

In an article retrieved from *inquirer.net* dated August 10, 2012, climate change was attributed to livestock and poultry rearing. Tessa R. Salazar’s story entitled “Experts Link Climate Change to Animal Production Consumption,” posited that animal production contributes to or exacerbates climate change.

Worldwide greenhouse gas emissions have been attributable to animal products such as cattle, buffalo, sheep, goats, camels, pigs and poultry (chicken).

Better believe it, environment experts claim the weather we have today is partly the result of our appetites. Although the causes of climate change are no doubt multifaceted, livestock propagation to meet the world’s incessant appetite for animal products has been assessed to be a significant factor in environmental destruction...

The story pointed out that livestock (carabao, pig, goat, etc.) and poultry (chicken, quails, ducks, etc.) contribute to the amount of greenhouse gases in the atmosphere. The writer backed this up by citing a report done by the *World Watch Magazine* entitled

“Livestock and Climate Change,” revealing that farm animals and their by-products contribute at least 32.6 billion tons of carbon dioxide per year and can account for more than half of the annual greenhouse gas emissions worldwide.

Other articles tried to prove this contention such as follows:

According to recent analysis, the lifecycle and supply chain of livestock products is actually responsible for at least 51 percent of all anthropogenic greenhouse gas emissions (GHGs). (“Chefs Tapped to Put a Lid on Climate Change,” 19 October 2012)

Pointing to agriculture sector, especially livestock production, as a major contributor to climate change may not be expected by the consumers. Appendix 3 shows the complete list of articles using this frame.

Frame 4. Twin Environmental Challenges

This fourth frame that surfaced from eleven articles links climate change and biodiversity as issues of equal weight or importance that needs to be addressed together.

Concepts that emerged from the articles included sustainable development, addressing the issue of climate change and environmental degradation, and environmental ethics.

Excerpts from the articles under this frame are as follows:

“We... renew our commitment to sustainable development and to ensure the promotion of an economically, socially, and environmentally sustainable future for our planet and for present and future generations,” it said...The long list includes climate change, desertification, fisheries depletion, pollution and deforestation, and the danger that thousands of species will go the way of the dodo.” (“UN Summit Issues Environment, Poverty Blueprint,” 23 June 2012)

“I encourage our local leaders to push for programs aimed at addressing environmental challenges, food security and water supply,” said Angara. (“Angara Calls on LGUs to Focus on Environment, Water, Sanitation,” 13 July 2012)

In June 2012, the United Nations Conference on Sustainable Development, more popularly known at Rio+20, was held at Rio de Janeiro in Brazil. A week before the said summit, Emeritus Archbishop Desmond Tutu wrote about his thoughts in an opinion article for the PDI on what should be tackled or discussed in the upcoming Rio+20. Through the course of the opinion article, he discussed the need to achieve sustainable development and to deliver new policies or treaties to address climate change and to preserve biodiversity. He expressed the need for a strong commitment to address not only one issue but to target all of them. As quoted from the said article:

In Rio, we need strong and unequivocal political commitment to reorient the global economy to meet the needs of the poorest while respecting the earth's limits... With the right support and techniques, these small farmers can help feed our growing population without doing further damage to the environment and sending our climate out of control...We must create a future safe from the risks of climate change and water, land, and food shortages... ("Prosperity for all Must Be at the Heart of Rio+20," 14 June 2012)

The point of the article is that societal problems do not occur as highly separated problems but are linked with one another. The aforementioned article did not focus on climate change and biodiversity as entirely separate issues but these issues were presented side by side. Appendix 4 shows the complete list of articles using this frame.

Frame 5. Call to Action

The fifth frame, 'call to action,' was surfaced from 10 articles. These highlight how climate change and biodiversity are issues that need human initiative in terms of policies and campaigns or any other type of social movement. Basically, these articles embed the "call-to-action" aspect.

Some excerpts that manifest this frame are as follows:

A proposed executive order (EO) drafted by the Cabinet

clusters on climate change mitigation and economic issues laid down six points as part of the Aquino administration's mining agenda... These include the declaration of the primacy of national laws over local laws allowing small-scale mining, which has set off criticisms from governors. ("6 Points Laid Out in Aquino's Mining Agenda," 27 June 2012)

Subsequent laws such as RA 9729, the Climate Change Act of 2007 and RA 10121, the Disaster Risk Reduction and Management (DRRM) Act of 2010 require the integration of climate change and DRRM in each policy, program and project of government. This is another area where the coordination of government agencies with the local government units and the collaboration with the various stakeholders cannot be dispensed with. ("Responsive Governance," 9 July 2012)

Foreign ministers from the Philippines, Australia, Indonesia, Papua New Guinea, New Zealand, and Timor Leste expressed their strong support for the Coral Triangle Initiative (CTI), a project which aims to support the conservation and sustainable management of marine resources in the region. ("A Harmonized and Sustainable Energy Policy," 23 July 2012)

A professional organization of nutritionist-dietitians has expressed its support to the Meatless Monday campaign in the Philippines. ("Meatless Monday Gets Nutritionist Dietitians' Nod," 3 August 2012)

The Department of Environment and Natural Resources and Public Works and Highways should include the value of the services that our trees perform for us to have better quality of life. ("Trees," 20 August 2012)

An editorial entitled "Monday Greens for Earth" dated 22 September 2012 talks about the movement called Luntiang Lunes, which launched the Meatless Monday Campaign in the Philippines. The said campaign encourages people to keep themselves from eating meat products during Mondays.

Luntiang Lunes Movement is so keen to have the said campaign become a permanent occurrence in the country. The movement tapped Rep. Teddy Casiño to file House Bill 6311, which requires school management to refrain from serving meat for lunch every Monday. The article explains why the said campaign and bill are being pursued:

... eating less meat will have a long term impact in view of the massive land and resources required for the livestock industry. There is also the matter of greenhouse gas emissions—also a major cost of raising livestock—which helps raise the planet’s temperature, leading to global climate change.

Apparently, there are fewer articles written on the need for policy formulation and implementation on the link between climate change and biodiversity. Appendix 5 shows the complete list of articles using this frame.

Frame 6. Survival of Ecosystems

Survival of ecosystems, the sixth frame, was surfaced from nine articles. It links climate change and biodiversity in a way that climate change negatively affects ecosystems in general.

Ecosystems are defined as complex communities consisting of plants, animals and microorganisms interacting with one another. Biodiversity comes in the picture because it refers to the diversity of species within each ecosystem and also pertains to the diversity among ecosystems. Because of climate change, ecosystems ranging from protected areas, marine ecosystems to forest ecosystems, are threatened.

Recurring concepts from articles under this frame include the following: reef degradation, marine environment, management of resources, deforestation, bleaching, endangered sites, and devastated reef covers. Majority of the articles show the effects of rising temperatures to marine ecosystems.

Some excerpts under this frame are as follows:

The Philippines’ ancient rice terraces, carved into mountains like giant green stairs, have been removed from a UN list of endangered world heritage sites, the

UN office in Manila said Wednesday. ("Philippine Rice Terraces Off Endangered List—UN," 27 June 2012)

Coral reefs around the world are under threat from another round of bleaching as ocean surface temperatures are expected to rise later this year, according to a leading marine scientist. ("Coral Reefs Face Bleaching Threat, Says Expert," 11 June 2012)

Coral reefs are important ecosystems of ecological, economic and cultural value yet they are in decline worldwide due to human activities. ("Philippine Reefs at Risk: It Makes Exec Cry," 10 July 2012)

In an article retrieved from inquirer.net dated 10 June 2012 entitled "Bleaching Brought By El Niño Threatens PH Coral Reefs—Expert," coral reefs not only in the Philippines, but all around the world, were under threat since ocean temperature was expected to rise later that year.

The Philippines is wary of the impending coral bleaching given that the country's tropical marine waters are included in the Coral Triangle, an area considered as the epicenter of marine biodiversity in the world. Moreover, the country already had massive bleaching back in 2012. With the impending threat, the damage already done might grow wider. This coral bleaching phenomenon is once again brought by the onslaught of climate change. As quoted from the article written by Kristine L. Alave:

According to Professor Terry Hughes, Australia's foremost marine biologist on coral ecosystems, massive coral bleaching is "entirely likely" in some reefs including Southeast Asia due to El Niño phenomenon, which is forecast to occur in the latter part of 2012... ("Philippines Highlights Coral Triangle Efforts in Southwest Pacific Meeting," 13 July 2012)

The two articles linked climate change as threatening the survival of different ecosystems, especially coral ecosystems. Appendix 6 provides the list of articles using this frame.

Frame 7. Survival of Species

This frame, survival of species, was surfaced from five articles. The previous frame focused on the collective; this frame focuses on a single aspect of the ecosystem—species within the ecosystem.

Writers point out the declining harvest, such as in coconut plantations, because of the failure of trees to flower from lack of bees.

Some excerpts from articles having this frame are as follows:

She used to harvest 4,000 coconuts and 200 kilos of macapuno and buko each month, earning P15,000 and above from her 2.5 hectares of farm in Barangay Balele but that was before the coconut scale insects attacked and destroyed her farm. Officials and coconut farm owners believed the devastation was brought about by climate change. (“Pests Destroy Coconut Trees in Batangas,” 8 June 2012)

“Trees fail to flower,” Aetas huddled at the Bataan mountaintop meeting told Fr. Shay Cullen. “Bees are disappearing. Storms blow away our nipa huts as never before.” (“Pests Destroy Coconut Trees in Batangas,” 8 June 2012)

On 30 September 2012, a new sea creature was discovered in the Philippines. PDI reported this by posting an article that same month entitled “Weird Sea Creature New Species Found in PH” written by DJ Yap. Called the “bubble shark,” the said species was only discovered last year by marine biologists. This relatively young species of sharks apparently also thrives in the waters of Batangas and Mindoro, specifically in the Verde Island Passage Marine Corridor (VIPMC), a world renowned area concentrated with various marine life.

The writers then used the said discovery of species to direct attention to the latter’s preservation and to the need to increase and preserve their habitat, which is already threatened:

For environmental officials, the discovery of the weird shark adds new meaning to efforts to save the Verde Island Passage Marine Corridor (VIPMC), a bustling sea-lane

renowned for having some of the highest concentrations of shore-fish and underwater life in the world.

... [I]t is said to have the largest concentration of marine life in the world, with more than 1,700 marine species recorded within a 10-square-kilometer area in the habitat. It is both a highly productive traditional and commercial fishers and a development area for coastal and marine tourism... But the saltwater highway is threatened by overfishing, pollution, and climate change

DiCaprio said climate change was already reducing many creatures' habitats and industrial fishing would further reduce their chances of survival, urging against dilution or delay of the sanctuary proposals currently before CCAMLR.

Again, just like the two earlier frames, this frame also talks about survival. The writers are saying that there is a need to protect the habitat in which the bubble shark was discovered to ensure the preservation of the said species. Appendix 7 shows the list of articles using this frame.

CONCLUSION AND RECOMMENDATIONS

The number of articles linking biodiversity and climate change covered only 24.23% of the 326 articles tagged at inquirer.net with the search words biodiversity and climate change. Further, these linked articles were predominantly straight news stories with an average of 100 to 500 words per article and appeared under the news section of the newspaper. As such, the articles linking both issues left little room for analysis, investigation, or in-depth reportage of the interconnection of these two equally important environment issues.

This was expected as it was only in June 2012 when the ASEAN ACB publicly acknowledged in a national media forum of the need to discuss about climate change with biodiversity. Hence, that same month, the policymakers of ASEAN ACB sought the help of the Philippine Press Institute to encourage all environmental journalists to link these two in their reportage. Further, they offered the incentive of receiving an award for the best reportage

of the interlinked issues of biodiversity and climate change.

While the linked reportage was still quite below the ideal, the reportage showed some positive signs. First, was the interlink of both issues in the reportage on biodiversity. In fact, the interlinked articles composed 85% of the retrieved articles on biodiversity. Second, 33 articles (41.77%) of the interlinked articles contained graphics or audio or video clips. The accompanying supplements such as photos and interview clips provided more information and emphasis, hence expounding on the mostly straight news.

Third, the predominant frames used by writers were 'biodiversity for climate change' followed by 'human survival,' and 'the cost of biodiversity'. This indicates that media portrayed the connection of climate change and biodiversity in a causal way—that one negatively affects the other. Articles framed in terms of 'survival', highlighted that biodiversity loss is an environmental problem that causes the loss of people's basic needs (food, clothing, and shelter), livelihood, and even lives. The 'cost of biodiversity' pointed not only to the manufacturing and industrial sectors as major contributors of greenhouse gases but also to agricultural production, especially the livestock sector.

However, noticeable are only a few articles used the frame 'call to action' or specifically pointed to the need for laws, policies, or social movements that would mitigate climate change and arrest biodiversity loss. Apparently, writers are still at the stage of reporting the causes and effects of both environmental issues and have not yet reached that level of knowledge or technical expertise to write how such linked problems could or should be addressed by policymakers.

Hence, balanced reportage for climate change and biodiversity is recommended. Reporters must be trained or capacitated to be able to expound more how climate change affects biodiversity and vice-versa to make the public better understand and appreciate their interdependence. Media can also give more importance to environmental stories and issues by creating a distinct section in their online archive (e.g., Environment Section). Further, given that both climate change and biodiversity are considered as environmental challenges that pose a lot of risks, media can frame articles that would motivate policy formulation and implementation about these interlinked issues. They must appreciate their role as vital advocates among policymakers by first understanding that environmental advocacies should be

holistic and integrated—with a public or policy discussion on how everything in our environment are interrelated. A follow-up study is also encouraged to monitor the improvement in reporting the linkage between climate change and biodiversity in various media platforms.

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APPENDIX 1

Articles with the frame 'biodiversity for climate change' (N=21)

Title	Date Published
1. Tree Planting, Clean ups for Environment Month	2 June 2012
2. Asia-Pacific to Need \$6T for Energy: Power Demand to Double by 2030, says ADB	4 June 2012
3. With Fewer Forests, We Lose 95% of Carbon Trap	9 June 2012
4. WWF Urges Government: Go for Clean Energy	25 June 2012
5. For the Birds, The Islets and the Weather	30 June 2012
6. 15,000 Trees for Tabunan Forest	24 June 2012
7. Tree Growing in Tabunan	25 June 2012
8. Aboitiz To Plant 70% of 3M Trees	21 July 2012
9. Overlooked Paradox	31 July 2012
10. Time to Shift to Renewable Energy	14 August 2012
11. Instant-Noodle Fix to Flooding	19 August 2012
12. SMC Spearheads Tree Planting In Mandaue	20 August 2012
13. 'Green' Buildings to help Mitigate Effects of Floods	29 August 2012
14. Eco-lawyer: Common Sense Will Solve Floods	29 August 2012
15. Like the 'Molave' In Coastal Greenbelts	30 August 2012
16. Flood-Prone Town Loses More Mangroves to Landfill (Part 1)	12 September 2012
17. Landfill Site Unused as One More is Built (Part 2)	13 September 2012
18. Tree Planting Marks 3rd 'Ondoy; Anniversary: 'Emotional Scar Still There'	27 September 2012
19. Union Energy Starts P1-B Biomass Power Project	16 October 2012
20. Philippines is 3rd Most Disaster-Prone Country in the World—Report	15 October 2012
21. Philippines is 3rd Most Disaster-Prone Country, New Study Shows	16 October 2012

APPENDIX 2

Articles with the frame 'human survival' (N=15)

Title	Date Published
1. DOH: Stay Clean, Observe Hygiene to Control Dengue	2 June 2012
2. China Tells US to Stop Reporting Beijing's Bad Air	2 June 2012
3. Batanes Gains from Climate Change	19 June 2012
4. Tornado Destroys Plantations in N. Cotabato Villages	1 July 2012
5. Death Toll Hits 150 From Floods in Southern Russia	8 July 2012
6. Unrelenting Heat Wave Bakes Half the US; 30 Dead	8 July 2012
7. Dagupan Under Water in 15 years, Says Mayor	11 July 2012
8. Reef Alert	13 July 2012
9. US Drought Worst in 25 Years, Food Prices to Rise	19 July 2012
10. A Harmonized and Sustainable Energy Policy	23 July 2012
11. Death Toll From Heavy Rains, Floods Up to 60-NDRRMC	10 August 2012
12. Overlooked 'Key Word'	27 August 2012
13. Overlooked Key Word	28 August 2012
14. Agri Dep't Order Action Teams vs. El Nino Impact on Rice Fields	17 September 2012
15. Lessons on Diving, Marine Protection and Gender Equality	28 September 2012

APPENDIX 3

Articles with the frame 'the cost of biodiversity' (N=13)

Title	Date Published
1. Plastic Gets New Lease on Life in Farming	24 June 2012
2. EO 23 Stops Legitimate Logging, Favors Instead Illegal Logging	5 July 2012
3. Filipino Moms Most Concerned About Food They Serve to Families, Says Survey	23 July 2012
4. Nation Needs Passage of RH Bill to Resolve Problems During Calamities—Lagman	8 August 2012
5. Philippine Floods a Man-Made Disaster—Experts	9 August 2012
6. Lawmakers Split On Role of Overpopulation in PH Disasters	10 August 2012
7. Experts Link Climate Change to Animal Products Consumption	10 August 2012
8. Bangus Overproduction' Causes Sinking—Study	24 August 2012
9. No to Dirty and Polluting Coal	3 September 2012
10. Chefs Tapped to Put a Lid on Climate Change	19 October 2012
11. Coal-fired power plants Stir Debate in Palawan	24 October 2012
12. When Dugongs, Rivers go to Court	27 October 2012
13. Aquino's Moral Imperative	29 October 2012

APPENDIX 4

Articles with the frame 'twin environmental challenges' (N=11)

Title	Date Published
1. World Banks Sees Global Garbage Crisis	7 June 2012
2. Qualified LGUs Get P60M in Incentives to Achieve UN Millennium Goals	9 June 2012
3. Prosperity for all Must Be at the Heart of Rio+20	14 June 2012
4. Beyond Headlines	15 June 2012
5. Gut Realities	19 June 2012
6. A Sustainable Future for Filipino Children	19 June 2012
7. Loans to Address Climate Change Set to Increase: Move to Ensure Global Economic Growth	21 June 2012
8. UN Summit Issues Environment, Poverty Blueprint	23 June 2012
9. Angara Calls on LGUs to Focus on Environment, Water, Sanitation	13 July 2012
10. Quezon City Eco-Fiesta Preaches Gospel of Zero Waste	22 July 2012
11. Research for Calamities and Revival	16 August 2012

APPENDIX 5

Articles with the frame 'call to action' (N=10)

Title	Date Published
1. 6 Points Laid Out in Aquino's Mining Agenda	27 June 2012
2. Responsive Governance	9 July 2012
3. Meatless Monday Campaign Gains Political Ground	14 July 2012
4. A Harmonized and Sustainable Energy Policy	23 July 2012
5. Meatless Monday Gets Nutritionist Dietitians' Nod	3 August 2012
6. Trees	20 August 2012
7. World's First Meatless Lunch to be Held in PH	7 September 2013
8. Waste Not, Burn Not	17 September 2012

- | | | |
|-----|-------------------------------------|-------------------|
| 9. | Vegetarians Push 'Meatless Mondays' | 18 September 2012 |
| 10. | Monday Greens For Earth | 22 September 2012 |

APPENDIX 6

Articles with the frame 'survival of ecosystems' (N=9)

Title	Date Published
1. Bleaching Brought by El Nino Threatens PH Coral Reefs—Expert	10 June 2012
2. Coral Reefs Face Bleaching Threat, Says Expert	11 June 2012
3. Philippine Rice Terraces Off Endangered List—UN	27 June 2012
4. Continue Efforts to Preserve Rice Terraces, Ifugao Solon Urges	28 June 2012
5. Philippine Reefs at Risk: It Makes Exec Cry	10 July 2012
6. Reef Alert	13 July 2012
7. Philippines Highlights Coral Triangle Efforts in Southwest Pacific Meeting	13 July 2012
8. Weird Sea Creature News Species Found in PH	30 September 2012
9. Great Barrier Reef Coral Halved in 27 Years—Study	2 October 2012

APPENDIX 7

Articles with the frame survival of species (N=5)

Title	Date Published
1. Pests Destroy Coconut Trees in Batangas	8 June 2012
2. Overlooked Key Word	27 August 2012
3. Overlooked Key Word	28 August 2012
4. Weird Sea Creature News Species Found in PH	30 September 2012
5. Leonardo DiCarpio Urges Antarctic Ocean Sanctuary	23 October 2012

PERFORMANCE OF NEWLY-WEANED PIGS FED ALTERNATIVE SOURCES OF PROTEIN

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Soybean meal combined with dried whey and plasma protein are the usual protein sources in diets for newly-weaned pigs. This experiment investigated whether yeast protein with added enzyme can replace plasma protein and dried whey in diets for newly-weaned pigs. A total of 630 newly-weaned piglets (6.8 kg mean BW) were randomly allotted to three dietary treatments in a two-phase feeding program from 0 to 21 days from weaning (Phase 1), and 22 to 49 days from weaning (Phase 2). Dietary treatments 1 (control diet) in both phases contained low levels of soybean meal (18%), and high levels of dried whey (15% in phase 1, 10% in phase 2), and plasma protein (5%). Dietary treatments 2 in both phases contained high levels of soybean meal (25%), moderate levels of dried whey (5% in phase 1, 2.5% in phase 2), no plasma protein, and moderate levels of yeast protein (3% in phase 1, 2% in phase

2). Lastly, dietary treatments 3 in both phases contained high levels of soybean meal (25%), no dried whey, no plasma protein, and high levels of yeast protein (4% in phase 1, 3% in phase 2). Treatments 2 and 3 were supplemented with a solid state fermentation (SSF) enzyme complex containing phytase, protease, amylase, cellulase, xylanase, and β -glucanase as part of the alternative strategy being evaluated in this study. All experimental diets did not contain any antibiotics. Feed intake, total body weight gain, average daily gain (ADG, g/d), feed conversion ratio (FCR, feed/gain), and survival rate were recorded and computed for each phase, as well as for the whole duration of the trial. Fecal consistency was taken at days 7, 14 and 21, and recorded as fecal score. Percent of scouring piglets per pen at day 7 of the trial was also recorded and noted as scouring incidence. Intestinal samples were taken at day 7 and day 28 of the trial to measure duodenal villus height and crypt depth, and to calculate for villus-height-to-crypt-depth ratio (VCR). Feed intake, survival rate and fecal score at day 7 of pigs in treatment 3 during phase 1 were found significantly different ($P < 0.05$), but no difference in the other growth and scouring parameters were observed during phase 2 and over-all duration of the trial. Only the crypt depth at day 7 of treatment 1 was different ($P < 0.05$) among all intestinal morphology data taken. This study demonstrates that the combination of yeast protein and SSF enzyme complex can successfully replace plasma protein and whey powder as protein sources for newly-weaned pigs. This offers opportunities for cost savings when designing diets for newly-weaned pigs.

KEYWORDS: piglets, soybean meal, protein source, yeast protein, SSF enzyme, intestinal morphology

INTRODUCTION

SOYBEAN MEAL IS the most important and widely-used protein source in the animal feed industry (FAO, 2004), but its high concentration in post-weaning diets has a detrimental effect on the newly-weaned pig's small intestine, lowering its digestive capacity and causing post-weaning diarrhea (Dunford et al., 1989). The usual strategy therefore is to combine milk products and plasma protein with soybean meal as protein sources in diets for newly-weaned pigs.

Milk products like dried skimmed milk and dried whey were found to improve growth performance of young pigs (Himmelberg et al., 1985; Lepine et al., 1991). Tokach et al. (1989) suggested that the improved performance of newly-weaned pigs fed a diet containing dried whey probably is the result of the presence of both the carbohydrate (lactose) and protein (lactalbumin) fractions present in whey. Lactalbumin has an excellent amino acid profile, a digestibility of 99%, biological value of 94% and protein efficiency ratio of 3.2 (Robinson, 1986). It was not clear however in the study of Tokach et al. (1989) which of these fractions contributed to the improved performance of newly-weaned pigs. Also, no additive effect was found when the lactose and lactalbumin were added together to the basal diet.

In 1992, Mahan showed that the lactose component of dried whey was the primary component that improved postweaning performance of pigs without negating the contribution of lactalbumin as an amino acid or protein source for the postweaning diet. Recent studies even suggested lactose levels of between 7 to 20% in post weaning diets (Mahan et al., 2004; Cromwell et al., 2008). Aside from being the major carbohydrate source for the newly-weaned pig, these studies suggest that lactose may be important in maintaining a good intestinal environment for the pig by enhancing the growth of *Lactobacillus spp.* present in the stomach and intestinal tract of the pig at weaning.

Spray-dried plasma protein is also consistent in improving growth performance when added to newly-weaned pig diets (Hansen et al., 1993; Kats et al., 1994). Excellent palatability and high nutrient digestibility were among the reasons given in these earlier studies as to why plasma protein is a better protein source than soybean meal in diets of newly-weaned pigs. Recently, however, Pierce et al. (2005) was able to identify that the immunoglobulin G fraction of plasma protein is the one responsible for the enhanced pig performance that occurs when it is fed to newly-weaned pigs.

Intestinal morphology of newly-weaned pigs was used in several studies to explain the differences in their growth performance when fed diets containing different protein sources (Cera et al., 1988; Dunsford et al., 1989; Carlson et al., 2004). These studies showed that although morphological changes in the small intestine of newly-weaned pigs are inevitable consequences of weaning, providing a highly digestible post-weaning diet appears

to minimize these abrupt morphological changes, therefore improving the newly-weaned pig's digestive capacity.

Nevertheless, the more important economic justification of any strategy to provide protein from alternative sources in post-weaning diets should always be investigated (Himmelberg et al., 1985). Faster growth rates and better feed conversion associated with including milk products and plasma protein in post-weaning diets vary in economic value and must be weighed against the additional cost of using these protein sources. Price of milk products, particularly dried whey, has been very unstable in recent years and many are now asking what their optimum levels in diets for newly-weaned pigs should really be (Mavromichalis, 2006). The search for more economical strategies to provide protein in diets for newly-weaned pigs should therefore continue.

It was Carlson et al. (2004) who hinted that yeast protein may appeal as an alternative protein source for animal feed due to the growing restrictions to feeding of animal products and by-products to livestock and poultry. First implemented in the EU (EC, 2002), emerging feed legislation worldwide has put added pressure on the search for alternative digestible protein sources for feed that are safe not only to animals, but to humans and to the environment as well.

A yeast protein, in particular yeast cell extract, was shown to be an effective alternative source of digestible protein for postweaning pig diets in the study by Maribo and Spring (2003). The yeast protein used in their experiment is manufactured from the cell contents of a specific strain of the yeast *Saccharomyces cerevisiae* (D'souza & Frio, 2007). This same yeast protein has been found to be an effective substitute to soybean meal (Hunziker and Spring, 2002), fishmeal (Maribo, 2001), and plasma protein (Mahan & Tibbetts, 2000; Maribo & Spring, 2003; Carlson et al., 2004; Halbbrook et al., 2004; Maxwell et al., 2004) as a protein source in diets for newly-weaned pigs in several studies.

Aside from being a rich source of digestible amino acids, yeast protein has other components that enhance its functional properties. These include glutamate, which gives it a distinct flavour and improves palatability; inositol, a vitamin that is a fundamental component of cell membranes; and nucleotides, which are important for immunity and maintaining gut integrity and health (D'souza & Frio, 2007).

Objective of the Study

Considering the significant level of functional nutrients found in yeast protein and their positive effect on the gastro-intestinal microflora and feed palatability (Mateo et al., 2004), as well as its high amino acid digestibility (Mateo & Stein, 2007), it is interesting to find out if yeast protein can be used as partial or complete replacement for both plasma protein and dried whey. This study aims to evaluate alternative protein sources in diets for newly-weaned pigs in terms of pig performance (e.g., growth rate, feed conversion, feed intake, survival rate, diarrhea incidence, and fecal score) and intestinal morphology.

Time and Place of the Study

Feeding trial for this study was done at Camille Farm located in General Santos City, Southern Philippines from May to September 2008.

Intestinal histopath slides were done at the Histopathology laboratory of the College of Veterinary Medicine at the University of the Philippines Los Banos, Philippines. Digital imaging and villi structure measurements were done at the microscopy lab of the National Institute of Molecular Biology and Biotechnology at the University of the Philippines-Los Banos, Philippines.

MATERIALS AND METHODS

Animals

A total of 630 cross-bred (Large White-Landrace x PD), newly-weaned piglets, with a mean weight of 6.8 kg, were randomly allotted to 18 equal groups. The 18 groups were then randomly allotted to 18 slotted nursery pens of similar sizes, which were also randomly allotted to three dietary treatments, with each treatment having six replicates. Each pen was therefore considered as one experimental unit.

Experimental Diets

Six experimental diets (Table 1) were formulated and fed in two

TABLE 1. Treatment diet composition with calculated analysis.

Ingredients	Phase 1 (0-21 days from weaning)		Phase 2 (22-49 days from weaning)	
	Treatment 1	Treatment 2	Treatment 1	Treatment 2
Corn	53.8%	58%	60.3%	63.2%
Sweet dried whey	15%	5%	10%	2.5%
Soybean meal 48%	18%	25%	18%	25%
Animal plasma protein	5%	—	5%	—
Yeast protein	—	3%	—	2%
Coconut oil	3.41%	3.84%	2.06%	2.36%
Mono-Dicalphosphate	1.52%	1.36%	1.66%	1.51%
Limestone	1.04%	1.17%	1.12%	1.15%
Salt	0.3%	0.3%	0.3%	0.3%
L-Lysine HCL	0.38%	0.532%	0.225%	0.39%
DL-Methionine	0.221%	0.267%	0.128%	0.18%
L-threonine	0.114%	0.209%	0.32%	0.133%
L-tryptophan	0.051%	0.082%	0.026%	0.058%
Acidifier	0.5%	0.5%	0.5%	0.5%
Zinc oxide	0.1%	0.1%	0.1%	0.1%
Sweetener	0.05%	0.05%	0.05%	0.05%
Vitamin Mineral premix	0.2%	0.2%	0.2%	0.2%
Anti-oxidant	0.02%	0.02%	0.02%	0.02%
Choline chloride 50%	0.1%	0.1%	0.1%	0.1%
SF Enzyme product	—	0.02%	—	0.02%
Mycotoxin binder	0.1%	0.1%	0.1%	0.1%
Organic Mineral premix	0.1%	0.1%	0.1%	0.1%
TOTAL	100%	100%	100%	100%

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TABLE 1. Treatment diet composition with calculated analysis.

Ingredients	Phase 1 (0-21 days from weaning)			Phase 2 (22-49 days from weaning)		
	Treatment 1	Treatment 2	Treatment 3	Treatment 1	Treatment 2	Treatment 3
Calculated Analysis						
Crude Protein %	19.347	19.672	19.884	19.015	19.048	19.338
Crude Fat %	6.018	6.546	6.828	4.900	5.265	5.427
Crude Fiber %	1.805	2.116	2.185	1.931	2.216	2.242
Calcium %	0.951	0.950	0.950	0.931	0.930	0.931
Avail. Phos. %	0.549	0.549	0.551	0.549	0.551	0.551
M.E.Swine kcal/kg	3,450.091	3,450.171	3,449.918	3,399.974	3,399.910	3,399.721
Lysine %	1.450	1.451	1.450	1.300	1.301	1.300
Meth.+Cyst. %	0.870	0.871	0.870	0.780	0.780	0.780
Threonine %	0.942	0.943	0.943	0.845	0.845	0.845
Tryptophan %	0.290	0.290	0.290	0.260	0.260	0.260
Lactose %	10.499	3.502	6.999			

phases. The first three iso-caloric and iso-nitrogenous diets were fed for the first 21 days from weaning—called phase 1—while the next three iso-caloric and iso-nitrogenous diets were fed from 22 to 49 days—referred to as phase 2. The control diet (Treatment 1) in both phases contained a low level of soybean meal, high level of dried whey, and plasma protein. Treatment 2 diets in both phases contained a high level of soybean meal, moderate level of dried whey, no plasma protein, and moderate level of yeast protein. Lastly, treatment 3 diets in both phases contained a high level of soybean meal, no dried whey, no plasma protein, and high level of yeast protein. All diets in both treatments 2 and 3 were supplemented with a solid state fermentation (SSF) produced enzyme complex containing phytase, protease, amylase, cellulase, xylanase, and β -glucanase (Alltech Biotechnology). Addition of this SSF enzyme product to treatments 2 and 3 diets was considered in order to reduce the anti-nutritive effects of higher soybean meal usage in these experimental diets and is part of the alternative strategy to be evaluated in this study. All experimental diets did not contain any antibiotics or in-feed medications.

Feeding and Management

All pigs were fed ad libitum through a line feeder positioned at the front of the pen. Drinking water was provided to all pigs at all times through two drinking nipples in each pen. All vaccination and medication schedules and other management practices were applied similarly to all groups.

Performance Data Collection

Total feed consumption per pen was recorded after each phase. Total initial and final body weights per pen were also recorded for each phase and for the whole trial, and total body weight gain per pen was then computed. Based on the feed consumption and weight gain data, average daily gain (ADG, g/d) and feed conversion ratio (FCR, feed/gain) were computed for each phase, as well as for the whole duration of the trial. The incidence, date and weight of all mortality were also recorded. Pigs that die before the end of each stage were not included in the computation of ADG. Their dead weights, however, were included in the computation of FCR.

Fecal consistency at three randomly selected positions per pen was noted at days 7, 14 and 21, and recorded as fecal score. A fecal score of 1 was given to solid, 2 to soft but well-formed, 3 to soft and no form, and 4 to loose and watery scours. The average fecal score of the three randomly selected positions was considered the scouring score per pen. Percent of scouring piglets per pen at day 7 of the trial was also recorded and noted as scouring incidence. Only pigs showing fecal score of 4 were considered scouring.

Intestinal Data

Intestinal morphology data of one randomly selected pig per pen was taken at day 7 and day 28 of the trial. These pigs were slaughtered and intestinal duodenal samples were collected following the procedure done by Carlson et al. (2004). Duodenal villus height and crypt depth of intestinal samples were measured using light microscopy and ImageJ Microscope Image processing (National Institute of Health, USA). Villus-height-to-crypt-depth ratio (VCR) was then calculated and recorded.

Statistical Analysis

Treatment effects on total body weight, ADG, FCR, feed intake, survival rate, diarrhea incidence at day 7, fecal score at days 7, 14 and 21, and intestinal morphology (duodenal villus height, crypt depth and villus-height-to-crypt-depth ratio) at day 7 and 28 were all determined using Analysis of Variance (ANOVA). Differences among mean performance were considered significant at P values <0.05 . When mean performances are found significantly different, a t -test was conducted to determine which particular treatment mean differs from the others.

RESULTS

Total body weight of pigs per pen at the end of phases 1 and 2 did not significantly differ among the three treatments (Table 2). The low P value at the end of phase 1 (0.13) is however noted and could be due to the very low mean performance of pigs in treatment 3 (373.75 kg), which appears to be caused by high mortality among pigs in treatment 3.

TABLE 2. Performance of newly-weaned pigs fed the three dietary treatments^a

Parameters	Dietary Treatment			P value ^b
	Treatment 1	Treatment 2	Treatment 3	
Average body weight per pen, kg				
Initial	240.00	240.00	240.00	
End of Phase 1	396.22	391.33	10.66	0.13
End of Phase 2/Final	790.92	763.00	21.75	0.38
Average daily gain per head, g				
Phase 1	206.82	198.66	172.27	0.08
Phase 2	419.54	398.95	410.40	0.77
Overall	331.90	318.10	311.95	0.60
Total feed intake per pen, kg				
Phase 1	298.33 A	278.33 A	249.50 B	0.02
Phase 2	773.33	744.17	714.00	0.40
Overall	1071.67	1022.50	963.50	0.18
Feed conversion ratio, feed/gain				
Phase 1	1.91	1.84	1.89	0.56
Phase 2	1.97	2.00	1.95	0.74
Overall	1.95	1.95	1.93	0.89
Survival rate, %				
Phase 1	100.00 A	99.03 A	97.13 B	0.03
Phase 2	99.02	97.55	98.00	0.66
Overall	98.92	96.27	94.50	0.14

^a A total of 630 piglets (35 piglets per replicate and 6 replicates per treatment) were used at the beginning of the 49-day study. Phase 1 (Days 1 to 21) contained an iso-caloric and iso-nitrogenous diets among the 3 treatments, and Phase 2 (Days 21 to 49) also contained an iso-caloric and iso-nitrogenous diets among the treatments. Treatment 1 diets in both phases were based on a low level of soybean meal, high level of dried whey and plasma protein. Treatment 2 diets in both phases were based on a high level of soybean meal, moderate level of dried whey, no plasma protein, and moderate level of yeast protein. Treatment 3 diets in all phases were based on a high level of soybean meal, no dried whey, no plasma protein, and high level of yeast protein.

^bData were analyzed using ANOVA with 2 factors, where 1 factor is the replicate (considered as blocking factor) and the other is the treatment.

Similarly, average daily gain (ADG) among treatments did not significantly differ in phases 1, 2 and over-all. As in total body weight however, the P value at the end of phase 1 is notably low at 0.08, and could be again due to the very low mean performance of pigs in treatment 3 (172.27 g). It is interesting to see however, that the P value at the end of phase 2 is very high at 0.77. This indicates that all treatments performed almost similarly in phase 2 in terms of ADG. In fact, pigs in treatment 3 compensated for their poor ADG in phase 1 and even outperformed pigs in treatment 2 during phase 2.

Total feed intake of pigs in phase 1 was found to significantly differ among treatments. T-test showed that treatments 1 and 2 were not significantly different from each other (both were A; i.e. homogeneous groups), but treatment 3 was significantly lower than treatments 1 and 2 (B; i.e. heterogeneous group). However, total feed intake among treatments in phase 2 showed no significant difference. Summing up the feed intake in phases 1 and 2 (overall) did not also show any significant difference.

Feed conversion ratio (FCR) in phases 1, 2 and overall did not show significant differences among treatments. The high P value in all phases is in fact indicative of how similarly all treatments performed in terms of FCR.

Survival rate in phase 1 showed significant difference among treatments. T-test showed that treatments 1 and 2 were not significantly different (A and AB, respectively), while treatment 1 was significantly higher in survival rate than Treatment 3 (A and B, respectively). Treatments 2 and 3 were not significantly different as well (AB and B, respectively). Survival rate in phase 2 and overall showed no significant differences among treatments.

Results of the fecal score and scouring incidence of pigs fed the three dietary treatments and the corresponding P values from the ANOVA (Table 3) showed fecal score at day 7 had significant difference among treatments. T-test showed that treatments 1 and 2 were statistically the same (both were A), but treatment 3 had a significant higher fecal score (B) than treatments 1 and 2. Fecal scores at day 14 and 21 did not significantly differ among treatments.

Scouring incidence at day 7 did not show significant difference. No incidence of scouring was observed at day 14 and 21.

TABLE 3. Fecal score and scouring incidence of pigs fed different dietary treatments^{a, d}

	Treatment 1	Treatment 2	Treatment 3	P value ^b
Fecal score ^c at day 7	2.44 A	2.44 A	3.00 B	0.01
Fecal score at day 14	1.72	1.83	1.94	0.19
Fecal score at day 21	1.50	1.78	1.61	0.11
Scouring incidence at day 7, %	3.33	3.33	6.19	0.20

^a A total of 162 randomly selected sites for fecal score were noted at 7th, 14th and 21st days of the trial (3 sites per replicate, 6 replicates per treatment).

^b Data were analyzed using ANOVA with 2 factors, where 1 factor is the replicate (considered as blocking factor) and the other is the treatment.

^c Fecal score: 1 – solid, 2 – soft but well-formed, 3 – soft and no form, 4 – loose and watery

^d Only pigs showing fecal score of 4 were considered scouring.

The intestinal morphology of pigs fed the three dietary treatments (Table 4) indicated that on day 7, duodenal villus height (VH) for all treatments did not significantly differ. However, crypt depth (CD) showed significant difference. T-test showed that treatment 1 was significantly greater than treatment 2 (A and B, respectively), while treatments 1 and 3 were not significantly different (A and AB, respectively). Treatments 2 and 3 were also not significantly different from each other (B and AB, respectively). No significant difference was observed for duodenal villus height to crypt depth ratio (VH:CD) among all the treatments.

On day 28, no dietary treatment differences were observed for duodenal morphology.

TABLE 4. Duodenal morphology of pigs at days 7 and 28 fed different dietary treatments^a

	Treatment 1	Treatment 2	Treatment 3	P value ^b
Day 7				
Villus height, μ	295.58	284.77	289.99	0.89
Crypt depth, μ	218.94 A	182.14 B	189.13 AB	0.03
Villus height to crypt depth ratio	1.37	1.55	1.54	0.25
Day 28				
Villus height, μ	617.58	595.48	620.86	0.89
Crypt depth, μ	426.58	374.53	451.41	0.51
Villus height to crypt depth ratio	1.51	1.6	1.44	0.60

^a A total of 36 pigs were randomly euthanized at day 7 and day 28 of the trial (one pig per replicate and 6 replicates per treatment).

^b Data were analyzed using ANOVA with 2 factors, where 1 factor is the replicate (considered as blocking factor) and the other is the treatment.

DISCUSSION

Pig Performance

The absence of milk products like whey powder in diets for young pigs did not compromise ADG and FCR of newly-weaned pigs in this study. Although pigs in treatment 3, which fed on diets containing no whey powder, had the lowest ADG in phase 1, it was not significantly low and the same pigs recovered in phase 2 and caught up with pigs in treatment 2, which fed on diets with a moderate level of whey powder. The observations of Tokach et al. (1989), Lepine et al. (1991), Mahan (1992) and Mahan et al. (2004) that increasing the level of dried whey in diets of newly-weaned pigs improved weight gain and feed conversion were not observed in this study. Mahan (1992) concluded that the lactose component of dried whey was the primary component that improved postweaning performance of pigs but Nessmith et al. (1997) observed inconsistent response of newly-weaned pigs fed increasing levels of lactose.

The absence of spray-dried plasma protein was also not a limiting factor in the growth and FCR performance of newly-weaned pigs in this study. Pigs in treatment 1, which were the only ones fed a diet containing spray-dried plasma protein, did not grow significantly faster nor had better FCR than pigs fed the other dietary treatments. The improved growth and feed conversion observed by Hansen et al. (1993) and Kats et al. (1994) when spray-dried plasma protein was added to newly-weaned pig diets were not observed in this study.

Total feed intake of pigs in treatment 3 was significantly lowest but only in phase 1. This is probably due to the significantly lower survival rate of pigs in treatment 3 and may not be related to the dietary treatments. Total feed intake per pen was recorded in this trial and was not converted to average feed intake per pig. Feed intake per pen would be reduced when mortality is high in that pen. During phase 2, however, no significant difference in total feed intake was observed among treatments, at which time, no significant difference in survival rate was likewise observed. Furthermore, most of the mortality among pigs on treatment 3 was mainly due to systemic infections, like Pneumonia, and were not due to starvation and diarrhea, which is not in any

way related to feed. The insignificant difference in scouring incidence among treatments at day 7 is proof of this. This study was done in a commercial farrow-to-finish farm which cannot be considered disease-free. The significantly higher fecal score of pigs in treatment 3 taken at day 7 could be bacterial in nature. The insignificant difference in fecal scores taken later at days 14 and 21 of phase 1 is a sign that pigs in the same treatment have already recovered from any infection. All dietary treatments in this study contained no in-feed antibiotic medication in all dietary treatments except for 1 kg of Zinc Oxide per ton.

Dunsford in 1989 demonstrated the detrimental effects of feeding a high concentration of soybean meal in post-weaning diets but this same effect was not observed in this study. Although soybean meal inclusion in the experimental diets used in this study was not as high as what Dunford (1989) used, no negative effects on ADG and FCR was observed when soybean meal inclusion in treatment 1 was increased by almost 40% in treatments 2 and 3. The higher level of soybean meal could not also be related to the significantly lower feed intake and survival rate, and significantly higher fecal score in treatment 3 during day 7 of phase 1 because both treatments 2 and 3 have identical levels of soybean meal. The supplementation of dietary treatments 2 and 3 with a solid state fermentation (SSF) enzyme complex has probably improved the digestibility of these diets by reducing the anti-nutritive effects of soybean meal. This same conclusion was made by Park et al. in 2004 when he and his co-workers observed that the addition of a SSF phytase complex to low P, barley-soybean meal based diets improved energy and nitrogen digestibility by growing pigs. Furthermore, the improved ADG of pigs in treatment 3 during phase 2 supports the observation made by Friesen et al. (1993) that the newly-weaned pig will eventually develop tolerance to the antigenistic effects of soy protein when fed a high-nutrient-density diet containing more than 20% soybean meal.

The yeast protein included in dietary treatments 2 and 3 appears to be effective in replacing spray-dried plasma protein which was included in dietary treatment 1. This observation supports the conclusions made in earlier studies using the same yeast protein (Mahan & Tibbetts, 2000; Maribo & Spring, 2003; Carlson et al., 2005; Halbrook et al., 2004; Maxwell et al., 2004).

The low level of whey powder in dietary treatment 2 and its absence in dietary treatment 3 also appears to be effectively

replaced by the inclusion of yeast protein in both diets. The significant level of functional nutrients found in yeast protein, as well as its high amino acid digestibility could be promoting growth in the young pig in the same way the protein fraction of whey powder was observed by Lepine et al. (1991) to be stimulating growth in newly-weaned pigs. The phytase, amylase, cellulase, xylanase, and β -glucanase present in the SSF enzyme complex supplemented to treatments 2 and 3 may have also released energy from corresponding substrates found in the diets to compensate for the apparent decrease in energy attributed to the decreasing lactose level. This is possible, according to Rutz and Rigolin (2008), who cited several trials in broilers and at least two trials in swine showing the ability of SSF enzyme complex to release energy as much as 200kcal/kg metabolizable energy in the feed. The growth and feed conversion performance of pigs in this study therefore shows that the combination of yeast protein and SSF enzyme complex is an effective replacement to whey powder in diets for newly-weaned pigs. However, this trial could not identify which particular functional nutrient in yeast protein, and which enzyme activity present in the SSF enzyme complex were responsible for replacing the nutritional contributions of whey powder in diets of newly-weaned pigs.

Intestinal Morphology

The immediate morphological responses in the pig's small intestine brought about by low feed intake immediately after weaning as described by Cera et al. (1988) could not be demonstrated in this study due to the lack of intestinal samples from pigs immediately after weaning. However, the generally shorter VH in the duodenum of pigs at day 7 compared to that of pigs at day 28 is enough to show that the same period of intestinal atrophy characterized by the shortening of the villi has occurred among pigs in this study and supports the observation of other studies done previously (Cera et al., 1988; Dunsford et al., 1989; Marion et al., 2002; Carlson et al., 2005).

The insignificant difference observed in VH of duodenal samples from among the three treatments at both 7 and 28 days suggests that no difference in digestive capacity existed among pigs fed the three dietary treatments. This is further proof that the significantly higher fecal score at day 7 in treatment 3 is not

nutritional in nature and was not brought about by poor nutrient digestion and absorption. This is contrary to the findings of Dunsford et al. (1989) who observed that high levels of soybean meal in the diet of newly-weaned pigs resulted in shorter VH suggesting lower digestive capacity. The presence of the SSF enzyme complex in dietary treatments 2 and 3 could again be responsible for minimizing the detrimental effects (on villi) of the higher soybean meal inclusion in these diets. This could be the same reason for the insignificant difference in ADG and FCR performance observed among treatments.

Increased CD is indicative of less mature enterocytes on the villus, which would be expected to have lower digestive capacity. Dunsford et al. (1989) observed this among pigs fed high levels of soybean meal post-weaning. This study also found a significant difference in duodenal CD among treatments at day 7, but had opposite findings from that of Dunsford et al. (1989). Treatment 1 was found to have significantly greater CD than treatment 2, and while not significant, treatment 1 also had greater CD than treatment 3. This is indicative of better digestive capacity in the duodenum of pigs in treatments 2 and 3. Not only is the detrimental effect (on villi) of higher soybean level in treatments 2 and 3 missing, but also that something common in treatments 2 and 3 (but not in treatment 1) is fueling villus crypt hyperplasia and promoting villus re-growth. Although no significant difference was observed on day 7 for duodenal VH:CD ratio among all the treatments ($P = 0.25$), it is interesting to note that VH:CD ratios in treatments 2 and 3 are almost identical and higher than in treatment 1. A higher VH:CD ratio suggests crypt hyperplasia and increasing villous length which are signs of recovery from atrophy (Pluske et al., 1997). The higher duodenal VH:CD ratio in all treatments and the absence of observed significant differences for total duodenal morphology on day 28 is a sign that by that time all the pigs in this study have recovered from intestinal atrophy brought about by weaning.

Several factors could be contributing to duodenal regeneration after weaning. Glutamine, an abundant free amino acid in the plasma of animals (Wu et al., 1994) and an essential precursor for the synthesis of proteins, purine and pyrimidine nucleotides and amino sugars (Krebs, 1980) was reported to be a major fuel for pig enterocytes (Wu et al., 1995), as well as an essential nutrient for the proliferation of intestinal intraepithelial lymphocytes (Wu,

1996). However, a study by Wu et al. (1996) showed that glutamine supplementation to post-weaning diets did not affect duodenal villus height nor crypt depth at 7 and 14 days post-weaning.

Another factor that could contribute to duodenal growth is the presence of nucleotides. Nucleotides are the building blocks for nucleic acids (i.e., DNA and RNA). Nucleotide requirement is therefore increased among rapidly dividing cells and tissues where increased DNA replication and RNA synthesis occur (Mateo & Stein, 2004). Dietary nucleotide supplementation is therefore associated with enhanced growth and maturation of intestinal epithelial cells. A previous study by Mateo et al. (2005) however, did not show that a diet supplemented with nucleotides in amounts similar to that found in sow's milk could increase duodenal villus height and decrease duodenal crypt depth at day 14 and 28 post-weaning. The study by Carlson et al. (2004) also did not see significant differences in duodenal crypt depths in nucleotide-containing yeast protein supplemented post-weaning diets.

This study contradicts both studies of Mateo et al. (2005) and Carlson et al. (2005) in the aspect of intestinal morphology by showing that nucleotide-containing yeast protein can decrease duodenal crypt depth and promote duodenal regeneration. This study demonstrates that nucleotides can promote regeneration of intestinal epithelial cells in the duodenum thereby improving digestive and absorptive capacity in the proximal small intestine of pigs.

Marion et al. (2002) reported clear evidence that changes in villous height after weaning are largely dependent on the amount of energy intake. This is supported by previous studies made by Kelly et al. (1991) and Pluske et al. (1996) that showed that low feed intake immediately post-weaning was a cause of villous atrophy. Energy released from substrates in SSF enzyme complex supplemented dietary treatments 2 and 3 could have been a source of digestible energy that fueled duodenal regeneration.

IMPLICATIONS

Pig performance in this study demonstrated that the combination of yeast protein and SSF enzyme complex successfully replaced plasma protein and whey powder as digestible protein sources for

newly-weaned pigs, contrary to previous studies. Furthermore, higher levels of soybean meal in post-weaning diets in this study did not limit growth rate and feed conversion efficiency when fed in combination with yeast protein and SSF enzyme complex. This opens up opportunities for cost savings when designing diets for newly-weaned pigs.

The duodenum is the major site for intestinal digestion and absorption. Demonstrating the positive effects of nucleotide-containing yeast protein and SSF enzyme complex in improving the morphology of the proximal intestine of pigs reveals the possibility of directly intervening in the morphological response of the newly-weaned pig's intestine to low feed intake and stress. This can reduce the costly effects of post-weaning lag so common in commercial pig farms worldwide.

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SHIFTING PATTERN AND SOPHISTICATION OF THE AMERICAN COLONIAL DOMINATION IN THE PHILIPPINES: FROM COLONIALISM TO TECHNOLOGICAL DOMINATION

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This article aims to demonstrate the shifting pattern and sophistication of the American colonial domination in the Philippines and the way in which this kind of domination has transformed the Philippines into a seemingly conformist society. However, in doing so, it does not claim that the Philippines was better off in the past and that the United States has caused its decline, though it can be observed that an invasion of a society at the “margins” by a power from the “center” can result in, for example, cultural displacement. What this article argues instead is that a meaningful engagement with any relevant issues in postcolonial Philippine society requires an in-depth understanding of how this society has undergone structural changes in the past.

This article is divided into two major parts. The first part demonstrates how the United States as the leading colonial power in the 20th century transformed its technique of controlling the Philippines, that is, from classical colonial to neocolonial forms. This involves a discussion of the four major types of domination inherent in capitalist colonialism, namely: militaristic, economic, political, and cultural domination. The article shows that these four types of domination have contributed to the stagnation of the Philippine economy and the destruction of the body politic, as well as the intensification of violence and social injustice in

modern day Philippines. The second part shows that of all the four types of domination imposed by the United States in the Philippines, technological domination, as a specific feature of cultural domination and which is understood in this study as the deliberate imposition of the American way of life among the Filipinos, plays the most commanding role as it seeps down their consciousness, resulting in what we can observe in the history of domination and resistance in the Philippines as the erosion of Filipino critical consciousness. In other words, technological domination has rendered most Filipinos today impervious to calls for social and political actions. Two major issues that contributed to the emergence of this phenomenon will be explained here, namely: a) the introduction of American-oriented "consumer culture" through the manipulation of the work attitude and consumption habit of the Filipinos; and b) the disappearance of critical media and the sexual objectification of Filipino women in the commercial media.

KEYWORDS: critical consciousness, consumption habit, imperialism, neocolonialism, resistance, work attitude

FROM IMPERIALISTIC TO NEOCOLONIAL DOMINATION

PERHAPS THE BEST way to fully understand the development of American domination in the Philippines is to quote few passages from Senator Albert J. Beveridge's speech before the 56th Congress of the United States in 1900. It reads:

... MR. PRESIDENT, the times call for candor. The Philippines are ours forever, "territory belonging to the United States," as the Constitution calls them. And just beyond the Philippines are China's illimitable markets. We will not retreat from either. We will not repudiate our duty in the archipelago. We will not abandon our opportunity in the Orient. We will not renounce our part in the mission of our race, trustees, under God, of the civilization of the world. We will move forward to our work, not howling our regrets like slaves whipped to their burdens, but with gratitude for a task worthy of our

strength, and thanksgiving to Almighty God that He has marked us as His chosen people, henceforth to lead in the regeneration of the world.

This island empire is the last land left in all the oceans. If it should prove a mistake to abandon it, the blunder once made would be irretrievable. If it proves a mistake to hold it, the error can be corrected when we will. Every other progressive nation stands ready to relieve us.

But to hold it will be no mistake. Our largest trade henceforth must be with Asia. The Pacific is our ocean. More and more Europe will manufacture the most it needs, secure from its colonies the most it consumes. Where shall we turn for consumers for our surplus? Geography answers the question. China is our natural customer. She is nearer to us than England, Germany, or Russia, the commercial powers of the present and the future. They moved closer to China by securing permanent bases on her borders. *The Philippines gives us a base at the door of all the East.*

Lines of navigation from our ports to the Orient and Australia; from Isthmian Canal to Asia; from all Oriental ports to Australia, *converge at and separate from the Philippines.* They are self-supporting, dividend-paying fleet, permanently anchored at a spot selected by the strategy of Providence, commanding the Pacific. *And the Pacific is the ocean of commerce in the future. Most future conflicts will be conflicts for commerce. The power that rules the Pacific, therefore, is the power that rules the world. And, with the Philippines, that power is and will forever be the American Republic....* (Beveridge qtd. in Lane-O'Sullivan 86-87)

The tenor of this speech reflects perfectly the real attitude of the American administration toward the Philippines at the start of the American colonial period. On the one hand, the US wanted to take hold of the Philippines for the double purpose of exploiting its rich natural resources through massive investments and the creation of markets for American surplus. On the other, they wanted to use the Philippines as their access point for the control of commerce in the Pacific Rim (including Australia) and to the rest of Asia, especially China and then [from the second half of the 20th century and onward] the Middle East. Beveridge's

speech also typifies the racist aspect of colonial domination wherein the purported supremacy of Western culture over the non-Western ones justifies the violence committed in the subjugated territories. In the other passage of the same speech, Beveridge (qtd. in Rodriguez 6) says: “[The Filipinos] are not capable of self-government. How could they be? They are not [a] self-governing race. They are Orientals, Malays, instructed by Spaniards in the latter’s worst estate. They know nothing about practical government except as they have witnessed the weak, corrupt, cruel, and capricious rule of Spain.” An analysis of Philippine-American relations, therefore, needs to be viewed in this light, that is, how domination is imposed by a central Western power over a non-Western nation at the periphery, and not from the sugarcoated “Benevolent Assimilation” of President McKinley. This is all the more important to note because, as we shall see later, the erosion of Filipino critical consciousness means an integration and adoption of the values and representations of the American way of life. Given the racist, “white” ideology underlying the US relations to a poorer cousin like the Philippines, by internalizing the American way of life, Filipino consciousness not only internalizes a consumer culture that anesthetizes any critical potential inherited from past struggles against another colonial power, such as Spain, but also a culture that shows deep contempt for it. It produces a form of self-loathing and an inferiority complex that is somehow unknown in the West.

1. Militaristic Domination. The heavily lopsided yet enduring Philippine-American relations that we know today started with American brutalities committed against the Filipinos during the Philippine-American War a century ago. It was in this war of aggression that the Americans slaughtered hundreds of thousands of Filipinos, both insurgents and civilians, who resisted American domination. This bloody event in Philippine history, which has been forgotten by many Filipinos today, is the brutal way in which American culture was imposed upon the native population, and marks the beginning of American capitalism in the country. The primary purpose of militaristic domination was the establishment and protection of American trade in the Philippines.

As history shows, after the Americans barred the Filipino insurgents from entering Manila during the Battle of Manila Bay on 1 May 1898, the latter returned to Kawit, Cavite where Gen.

Emilio Aguinaldo, the leader of the revolutionary forces, resided until his retreat to the mountainous region of Central Luzon to evade the Americans. In Kawit, Gen. Aguinaldo proclaimed the independence of the Philippine Islands from Spanish rule as a result of the defeat of the Spaniards in the Battle of Manila Bay. As is well-known, Spain and the United States did not recognize this proclamation. In December 1898, Spain finally ceded the Philippine Islands to the Americans through the Treaty of Paris which also marked the end of the Spanish-American War. The tension that existed between the American colonialists and the Filipino insurgents eventually resulted in the Filipino-American War as the Filipino insurgents were determined to continue the fight for independence.

At first, the Americans were confident that they could win the war in just a short time because of their superior firepower against Filipino forces who were armed mostly with bolos and few rifles. During their first encounters, the Filipino insurgents who stood bravely against the overwhelming American forces were easily crushed. In one instance, hundreds of Filipino insurgents were killed when the Americans steamed up the Pasig River firing 500-pound shells into Filipino trenches (Francisco 10). After such devastating encounter, the Filipino insurgents retreated to the mountainous region of Central Luzon and were forced to resort to guerilla warfare. This made the war drag on for much longer than what the Americans had expected.

Because the “guerilla warfare” strategy enabled the insurgents to move around so quickly and easily, sporadically but perpetually harassing the Americans, and because the insurgents “had the total support of the Filipino masses” (11), the Americans found it extremely difficult to take hold of the insurgents. Thus, the Americans “began to realize that their major foe was not really the formally constituted, but in many ways ineffectual, Philippine army; rather, it was the Filipino people, who, having gotten rid of the Spanish, were unrelentingly and implacably hostile to American imperialist designs” (11). It was not long before it became obvious to the Americans that the Filipino civilians who faced them in a friendly manner while they were on patrol, were the same people who sheltered the insurgents and provided them with supplies. Gen. Arthur MacArthur who soon replaced Gen. Otis as commander of the American squadron commented that the Filipino insurgents “...depended upon almost complete unity

of action of the entire native population" (11).

The implication of such "unity" was to some extent disastrous to the Filipinos. Faced with the difficulty of identifying the guerillas from the broad population, Gen. Shafter as early as April 1899 declared that the complete subjugation of the Filipino nation may necessarily require killing half of its population (11). This was indeed not an exaggeration as the Americans thereafter declared everyone in the Philippine archipelago an enemy; everyone now was considered as either an active guerilla or a guerilla supporter. This resulted in one of the most brutal and bloodiest persecutions of the native population in the entire history of the Philippines. Villages were burned; civilians were tortured with "water cure" to elicit information about the whereabouts of the guerillas; and village leaders were often forced at bayonet point to lead American patrols (11). Indeed, the most gruesome of all these brutalities was the Samar campaign in September 1901.

Luzviminda Francisco posits that the Samar campaign can no longer be considered as "war" in the strict sense of the word, but rather as utter mass slaughter. She notes that in Samar, "the Americans were simply chasing ragged, poorly armed bands of guerillas and, failing to catch them, were inflicting the severest punishment on those they could catch—the people of the villages and barrios of the theater of operation" (11). Francisco (16) further notes that the Americans even packed some villagers into open wooden pens during the night where they were forced to sleep standing in the rain.

Similar American military brutalities were committed in Batangas, Tayabas (now Quezon province), Cebu, Panay, Mindanao, and other parts of the Philippine Islands. In Batangas alone, the Americans herded together all inhabitants into concentration camps. "Everything lying outside the perimeter of the camps was subject to confiscation or destruction. Anyone found there would automatically be considered an 'insurgent'" (17). According to the statistics compiled by the American Government officials, at least 100, 000 people were killed or had died toward the end of the pacification of Batangas (18).

The intensity of American militarization subsided when Gen. Emilio Aguinaldo, after his capture in April 1901, was forced to render allegiance to the Americans and when Gen. Miguel Malvar surrendered in Batangas. Several guerilla leaders also followed suit. President Roosevelt of the United States proclaimed the

Filipino-American War to be over on 4 July 1902. With this, a number of Filipinos gradually acquiesced and tolerated American rule, especially the *illustrados* and other political elites.

However, the capitulation of many leaders of the Revolutionary Government did not put an end to the revolution (McCoy 93).¹ New leaders such as Sakay, Ricarte, Olan, and Balun emerged to continue the fight against American militarism and imperialism. Throughout the first half of the 20th century, insurgency continued to haunt American colonial power in the Philippines.

Although resistance to American domination recurred all throughout the American occupation period, the Americans managed to establish a civil government in the Philippines, which witnessed the weakening of militaristic domination but gave way to the rise of economic domination. This period marked the beginning of the transformation of the United States's brutal technique of controlling the Philippines into a more subtle one: economic domination.

2. Economic Domination. The economy as the fundamental factor driving Western powers to expand their territories abroad and bring the resources of the less developed countries under their control, was always at the center of colonial domination. Unlike militaristic domination which involves direct violence, economic domination works in a more subtle way, by requiring colonized countries to restructure their economy to fit the demands of the colonial regime and serve the interests of the colonizing power. In the Philippines during the American period, this was done through the establishment of unequal treaties and trade agreements such as the ones discussed below.

2.1 The Payne-Aldrich Act of 1909. After the establishment of a civil government in 1901, which gave American companies maximum opportunities for profitable investments in the Philippines, William Howard Taft, then Governor General, facilitated the entry of big American corporations like railroad, construction, transportation and communication, sugar, mining, and other corporations into the Philippines. However, because the Philippines had been trading with Spain and Britain before the American occupation and since Article IV of the Treaty of Paris provided for a ten-year period during which Spain could still engage in trade with the Philippines on the same terms as

the United States, the latter was not yet completely free to carry out its economic policies (Treaty of Peace 125). It had to wait until 1909 to exercise full control of trade in the Philippines. To eliminate competition with Spanish and British traders, the United States enacted tariff laws in favour of the American traders and investors. With a civil government already in place, the US Congress enacted the Tariff Act of 1901 which lowered the tariff rates of some American exports to the Philippines. With the Tariff Act of 1902, the tariff on American goods entering the Philippines was completely removed.

As the restrictive clause of the Treaty of Paris expired, the US Congress enacted the Tariff Act of 1909, also known as the Payne-Aldrich Act, which finally established free trade in the Philippines. Under this law, American products could enter the Philippines absolutely free of duty and in unlimited quantities. Philippine products, on the other hand, could enter the United States also free of duty, but with certain limitations as to the quantities and materials used in their manufacturing. The Tariff Act stipulates that Philippine products should not contain more than 20 percent of foreign materials and their quantity must be limited to the following: 300, 000 long tons of sugar; 150, 000, 000 wrapper tobacco, 3, 000, 000 pounds; and filler tobacco, 1, 000, 000 pounds (Zafra 31).

Through the Payne-Aldrich Act, the Philippines remained largely an agricultural country whose economy depended almost entirely on the export of its raw materials to the United States. According to Rene E. Ofreneo (19), the free trade policy of the United States institutionalized in the Philippines through the enactment of the Payne-Aldrich Act reduced the Philippines into a "colonial appendage of the American economy."

Free trade transformed the Philippines into a colonial appendage of the American economy. The American share in the Philippine trade rose from 16% of the total in 1899 to 40% in 1913 and 75% in 1934.... On the other hand, the composition of the products that the Philippines was trading with the United States shows that the former was consigned to the role of a hewer of wood and carrier of water for the latter. The Philippines was basically an exporter of agricultural and other raw materials and an importer of finished or manufactured products....

In addition to becoming a colonial appendage of the United States, the Philippines became a junkyard of American surplus which in the long run transformed the traditional Philippine society into a “consumer society” and at the same time influenced the consumption habits of the Filipinos and their attitude toward work. The transformation of the consumption habits of the Filipinos and their attitude toward work will be discussed in the latter part of this paper.

2.2 Free Trade and the Independence Issue. Since the annexation of the Philippines to the United States in 1898, the Filipinos, except for the pro-Americans elites who benefited from the highly profitable import/export business, tenaciously clamored for independence. As already mentioned, the greater bulk of the Filipino nation resisted American domination. They resorted to both violent and non-violent means to achieve their long desired independence from foreign control. These attempts, however, proved futile in the end because they were unable to match the might of the United States. But defeats though overwhelming in many cases did not silence the dissenters. The Filipinos continued to lobby for independence so that every attempt by the Americans to implement their economic policies in the country was received with much reluctance. This attitude endured throughout the entire span of American occupation. Thus, in order to gain support from the local population, the Americans constantly insisted that their decision to take hold of the Philippines was influenced by the principle of “Benevolent Assimilation,” that, as the chosen people of God, according to Senator Beveridge, it was their “manifest destiny” to uplift the plight of the Filipino people. However, as a result of the continuing opposition and demand for independence of the majority of the Filipino population and aware of the fact that the Filipinos wanted a government of their own, the Americans finally yielded by purportedly granting the Philippines its supposed independence. This led to the enactment of the Philippine Independence Act of 1934, also known as the Tydings-McDuffie Act. This Act provided for the establishment of the Commonwealth Government of the Philippines for a ten-year transition period prior to the final grant of independence on 4 July 1946. It apparently intended to grant the Philippines independence, but a careful examination of its provisions reveals

the real motive of the Americans: the Filipinos will run their own government yet the United States should dictate their economy. In other words, the Americans granted the Philippines sham independence in order to satisfy the Filipinos' demand for it and, with this demand satisfied, they could maintain the real purpose of the occupation, namely, their free trade policy that was significantly disadvantageous to the Philippine economy. Let me highlight the salient points of this law in order to show how the Americans pushed their free trade policy in the guise of independence.

The preamble of the Tydings-McDuffie Act is indeed commendable. It states: "An Act to provide for the complete independence to the Philippine Islands, to provide for the adoption of constitution and a form of government for the Philippine Islands, and for other purposes" (Philippines Independence Act 216). But several provisions of this Act are wholly inconsistent with this idea of "complete independence." Section 2, for example, which consisted of 16 Subsections, contains blatant violations of the very purpose of the Act. Subsection No. 2 states:

Every officer of the Commonwealth Government of the Philippine Islands shall, before entering upon the discharge of his duties, take and subscribe an oath of office, declaring among other things, *that he recognizes and accepts the supreme authority of and will maintain true faith and allegiance to the United States* (215).

Subsection No. 10, which states "Foreign affairs shall be under the direct supervision and control of the United States" assured the perpetuation of America's complete control of both the internal and external affairs of the Commonwealth Government of the Philippines (216). Subsection No. 16 also attests to this fact. It states: "Citizens and corporations of the United States shall enjoy in the Commonwealth of the Philippine Islands all the civil rights of the citizens and corporations, respectively, thereof" (216).

Section 6 assured the perpetuation of the free trade policy of the United States already institutionalized through the Payne-Aldrich Act of 1909. American products continued to enter the Philippines free of duty and in unlimited quantities while Philippine exports to the United States were subjected to even tighter restrictions. Unrefined sugar export to the United States was now reduced to

800, 000 long tons, refined sugar to 50, 000 long tons, coconut oil to 200, 000 long tons, and hemp to 3, 000, 000 pounds. Exports in excess of these quotas were subject to full United States duties (217-19).

As a whole, the Philippine Independence Act of 1934 only reaffirms the continued subservience of the Philippines to the United States as the latter, by virtue of the provisions of the Act, was assured of near complete control over the political, economic, and foreign affairs of the Philippines. As Augusto V. de Viana (580) notes, the Philippine Independence Act was "heavily lopsided in favor of the Americans".

2.3 Bell Trade Act and Philippine-American Relations After Independence. The Philippines finally attained independence on 4 July 1946 as provided for in the Tydings-McDuffie Act of 1935, but it was not without some very strong strings attached. It is important to note that during the ten-year transition period (i.e., from 1935 to 1946), also known as the Commonwealth Government of the Philippines, World War II broke out and the Japanese occupied the Philippines for three years. This war destroyed Philippine industries and greatly damaged its economy so that after liberation the Philippines found itself on the verge of bankruptcy. Given this condition, it was difficult for the Philippines to attain economic recovery without aid from the United States in the form of war damage compensation.

The fact that the Philippines owed gratitude to the United States for its liberation from the Japanese and needed reconstruction aid after the War, allowed the United States to sustain the free trade arrangement with the Philippines after the granting of independence. This was done through the enactment of the Bell Trade Act. According to Carl H. Lande (519-20), the Bell Trade Act, which is a precondition for the badly needed reconstruction assistance, was an encroachment on Philippine sovereignty as it required the amendment of the 1935 Philippine Constitution to give Americans the same rights accorded to Filipinos to exploit Philippine natural resources and to operate public utilities and other business enterprises. Section 341 of the Act guaranteed these rights. It states:

The disposition, exploitation, development, and utilization of all agricultural, timber, and mineral lands

of the public domain, waters, minerals, coal, petroleum, and other mineral oils, all forces and sources of potential energy, and other natural resources of the Philippines, and the operation of public utilities, shall, if open to any person, be open to citizens of the United States and to all forms of business enterprises owned or controlled, directly or indirectly, by United States citizens (Philippine Trade Act).

In addition to the “parity” provision, as it was called, the Bell Trade Act also contains provisions that are prejudicial to the Philippines. Section 342 (Bell Trade Act), for example, which states “The value of Philippine currency in relation to the United States dollar shall not be changed,² the convertibility of peso into dollars shall not be suspended...,” places the Philippine peso under US dictation. And Section 311 (Bell Trade Act) attests to the fact that the United States was not willing to let go of the Philippines and that it wanted to continue its free trade policy with the Philippines even beyond 1946 by hook or by crook. It reads: “During the period from the day after the date of the enactment of this Act to July 3, 1954, both dates inclusive, United States articles entered, or withdrawn from warehouse in the Philippines for consumption shall be admitted in the Philippines free of ordinary custom duties.”

The United States made sure that war damage compensation should not be paid until the Philippine Congress and the Filipino people accepted the Bell Trade Act leading to the amendment of the 1935 Philippine Constitution, no matter how lopsided it would appear to them. President Manuel Roxas, although reluctant, was forced to sign the Treaty. He had no choice, considering the great need of the Philippines for reconstruction aid to put its economy back on track. As a result, the free trade policy of the United States in the Philippines was prolonged indefinitely.

2.4 Free Trade and Transnational Corporations. After the Second World War, the United States emerged as the leading world superpower. This phenomenon entails greater expansion of American industries which in turn requires a massive importation of cheap raw materials and the building up of foreign markets. Since these cheap raw materials and foreign markets are found mostly in underdeveloped countries, it is therefore understandable that the

United States and other First World countries needed to continue controlling the economies of these underdeveloped countries. Thus, with the beginning of the collapse of colonial empires after the Second World War which had triggered the transformation of former colonies into politically independent nations, “the United States and other capitalist states sought to transform these new nations into neocolonies in the guise of helping them to develop their economies” (Constantino 2). For this purpose, international financial institutions like the World Bank, the International Monetary Fund (IMF) all controlled by Western nations, and the Asian Development Bank, were established. In fact, as Walden Bello (argues, the IMF and the World Bank have progressively assumed control of the Philippine economy in order to perpetuate and maintain the interests of the metropolitan capitalist nations, most notably the United States.

These international financial institutions would offer economic and financial assistance to less developed countries, but on condition that they keep their economies open to foreign trade and investment (Constantino 2). Alejandro Lichauco (54) aptly puts it:

The existence of these institutions, such as the IMF and the World Bank, serve as standing invitations which lure the governments of needy nations to apply to them for loans and to rely on outsiders for their internal development. In the process of loan negotiations, the applicants are then maneuvered into accepting a few but strategic conditions which perpetuate the structural basis of their economic weakness, and which open their economy to plunder. In brief, it is through these agencies, which the advanced countries themselves organized and control, that the relationship of exploiter and exploited is institutionalized.

It is also through these institutions that the transnational corporations of the United States, Central and Western Europe, and Japan penetrated the underdeveloped countries. Thus, with these institutions, as Lichauco argues, “financial aid” became an instrument of domination (54).

3. Political Domination. It must be remembered that the Spaniards succeeded in colonizing the native Filipinos in 1565

because they gained the support of the *datus* and *maharlikas*, the ruling classes during this time. Equally, the Spaniards continued to remain in power until 1898 mainly because the *principalia*, the ruling class that emerged after the *barangays* headed by the *datus* were transformed into *pueblos*, cooperated with the Spanish colonialists. In the modern day Philippines, especially after independence, this ruling class was replaced by the bureaucrats and the technocrats. And just like their predecessors, they also cooperated with the new colonialists and became potent instruments of neocolonialism.

3.1 Philippine Presidents and American Neocolonialism. The first bureaucrat to facilitate American neocolonialism in the Philippines was President Manuel Roxas who reigned from 1946 to 1948. According to Lichauco, it was Roxas who “delivered the infamous Bell Trade Act of 1946 which established the neocolonial pattern of Philippine-American relations after independence” (56). In addition, Roxas, on the day of his inauguration as President of the Philippines, signed the US-RP Treaty of General Agreements which empowered the United States to retain its authority over extensive military bases in the Philippines and guaranteed US corporations and citizens the same property rights accorded to the Filipinos.

President Elpidio Quirino succeeded Roxas and reigned from 1948 to 1953. It was during his presidency that US personnel intruded Philippine bureaucracy through the signing of the Economic and Technical Assistance Agreement of 1951. Among other things, this agreement required the placement of US advisors in key strategic offices of the Philippine government like the National Economic Development Authority (NEDA). Also in 1951, President Quirino signed the US-RP Mutual Defense Treaty which gave the United States the right to meddle not only with the military but with the economic and political affairs of the Philippine government as well. But the worst foreign policy President Quirino signed, from the point of view of Philippine interests, was the Agreement relating to “Entry of US Traders and Investors” in 1953. As the title suggests, this agreement allowed the entry of US capital and technocrats into the Philippines. President Quirino was thus the first in a long line of the political elites that helped maintain the neocolonial status of the Philippines after the war.

In 1954 Ramon Magsaysay became President and remained in office until 1959. Like all his predecessors, Magsaysay upheld the American colonial policy. For example, it was during his presidency that the Bell Trade Act of 1946 was revised, which resulted in the signing of the Laurel-Langley Agreement in 1954. If parity rights under the Bell Trade Act of 1946 was limited to public utilities and the development of natural resources, parity rights under the Laurel-Langley Agreement of 1954 were extended to all types of businesses. Thus, according to Amado Guererro (41), this treaty aggravated the economic dependence of the Philippines on the United States. It was also during the presidency of Magsaysay that the Agricultural Commodities Agreement with the United States was entered into. This agreement, as it required the importation of US agricultural surplus, helped maintain the colonial pattern of Philippine economy, thus making the Philippine industries even more dependent on and subservient to the United States.

The Carlos P. Garcia administration which spanned from 1957 to 1961 was an exceptional case because this period witnessed the rise of "nationalist economics" in the country as a result of the imposition of foreign exchange and import control. Though Garcia's regime did not break the neocolonial status of the country, President Garcia dared to some extent to resist US dictation and favored Filipino businessmen and entrepreneurs. For example, he defied the insistence of the United States to lift the foreign exchange and import control towards the end of the 1950s and instead opted for the strengthening of his "Filipino First" policy.

In 1962, Diosdado Macapagal ascended to the presidency and remained in office until 1965. Macapagal's first major executive decree was the lifting of the foreign exchange and import control, a policy which, according to Lichauco, "delivered the country back to free trade" (58). This policy enabled foreign investors, especially from the United States, to pour capital in almost all industries in the Philippines and draw maximum profit from them. As these big US corporations remit huge profits to the US government, the dollar reserves of the Central Bank of the Philippines was drained. To counter this drawback, the Macapagal administration devalued the Philippine peso from the fixed rate of PHP 2.00 per USD 1.00 to PHP 3.90 per USD 1.00 in 1962. In order to maintain this exchange rate, Macapagal "had to accept the 'onerous' loans from the US banks" (Guererro 41) and other international lending institutions like the World Bank and the IMF. It is reported that

in 1972, ten years after the foreign exchange and import control was lifted, the Philippine foreign debt amounted to USD 2.134 million or PHD 14.45 billion at the exchange rate of PHD 6.77 per USD 1.00. This phenomenon followed an upward trend so that as of September 2009, according to the December 2009 press release of the Bureau of Treasury, the foreign debt of the Philippines amounted to PHP 4.338 trillion.

The succeeding presidents, namely Ferdinand Marcos, who reigned from 1965 to 1986, Corazon Aquino, from 1986 to 1992, Fidel Ramos, from 1992 to 1998, Joseph Estrada, from 1998 to 2001, Gloria Arroyo, from 2001 to 2010, and Benigno Aquino III, from 2010 to the present, continued to promote the free trade policies of their predecessors and accepted American policies as a whole with little reservation. This was due primarily, but not exclusively, to the political and economic favors like “privileged trade relations” and “clientelism” that the Americans extended to the Filipino political elites. As Kathleen Weekley (95) puts it, “Most Filipino political elites stuck to their American allies after independence as they had in the years before it: the ‘client’ relied on the ‘patron’ as the source of the funds necessary to attract support and votes at election time”. The client, therefore, has to continue to speak the language of the patron, that is, the Filipino political elites had to satisfy the conditions demanded of them by the US government in order to maintain this relationship even if it entails the perpetuation of the marginalization of their constituents. During the 1953 presidential elections, for example, the United States through the Central Intelligence Agency openly supported the presidency of Magsaysay (95). Magsaysay promised his supporters during the campaign that once elected into office, funds from the United States would follow. President Marcos’s case was another concrete example. Marcos’s dictatorship which lasted for 21 years always enjoyed the consistent backing of the United States. The United States extended enormous funds to the presidency of Marcos because the latter was viewed as a reliable ally who supported US foreign policies and ensured the continuance of huge American military bases in the Philippines (Meimban 238).

In the Philippines at present, political domination can be seen in how the US-led global war on terrorism is used as a pretext to intensify domestic laws in suppressing movements, such as the New People’s Army, that fight against imperialism. According

to Sumanta Banerjee (41-88), the US military “has found a convenient excuse for restoring its presence (after its troops were forced to vacate the Subic Bay and Clark Airfield bases...) by linking the Abu Sayyaf bandit group operating in Mindanao region of southern Philippines with Al Quaida”. The target of the US military, Banerjee argues, is not the Abu Sayyaf but those who oppose US hegemony in the Philippines, e.g., the New People’s Army and other socio-political movements advocating democracy and human rights (41-88). How did the United States manage to do this? Once again, the political elites play the crucial role. Banerjee (41-88) writes: “They are too willing to barter off independence in exchange of billions of dollars of US economic aid which will be siphoned off into the coffers of the elites, their touts and hangers-on, who will eventually develop stakes in the continuation of US domination over their country”. We see here how the imposition of political domination in the Philippines as a country at the “periphery” involves the manipulation of the political elites who, upon receiving favors from the colonialists, preach the language of imperialism.

3.2 The Technocrats. Another instrument of neocolonialism highlighted by Lichauco are the technocrats who hold key positions in the strategic offices of the government like the National Economic Development Authority (NEDA). They are mostly trained in the US or US-controlled institutions and are usually recipients of US scholarships. As expected, they soon commit themselves completely to US policies in the country. They design the Philippine economy in accordance with US economic interests and other capitalist countries. This elite group, according to Lichauco (59), has been very influential in the formulation and implementation of policies that are responsible for the continued colonization of the Philippines as they serve as a bridge between the Government of the Republic of the Philippines and the transnational corporations as well as the IMF and World Bank. Lichauco (67) writes:

Considering the extensiveness with which sensitive policy-making offices of our government are headed or manned by technocrats professionally and intellectually allied with foreign interests, one can understand the unusual facility with which imperialism succeeds in maneuvering

our government to accept the very policies which, either singly or in their cumulative effect, perpetuate the historical colonial status of our republic. Technocracy in the Philippines has come to function as the fifth column of contemporary imperialism, and the technical efficiency of our technocrats, far from serving the ultimate interests of our country, has only contributed to the technical efficiency with which neocolonialism pursues its objectives.

But above all, according to William Pomeroy (241), the Filipino technocrats seek to make the Philippines a part of the global division of labor, thus serving to minimize the production costs and maximize the profit of the transnational corporations. Pomeroy believes that like the Philippine presidents, the technocrats are the spokesmen of US imperialism.

4. Cultural Domination. In addition to militaristic, economic, and political forms of domination are the educational system [the organization of the business community] and the mass media as instruments of cultural domination. Some famous scholars argue that the American-oriented Philippine educational system, with English as the official medium of instruction, is one of the instruments of domination used by the American colonialists during the American occupation period because it conditioned the minds of the Filipinos to look to American products and American culture as a whole. Constantino, for example, seeks to demonstrate how the American-oriented educational system helped indoctrinate the Filipinos. Moreover, during the postcolonial period, Lichauco (67) contends, the American-oriented educational system remained an instrument of domination as it facilitates, among other things, American neocolonialism. "It is an educational system", Lichauco (67) writes, "which perpetuates the colonial complex and continues in its idolatry of values, attitudes, and institutions that are the products of a history, civilization, and culture not our own, and forcibly implanted here by colonialism." He further writes: "We have been conditioned, and our youth continue to be conditioned, to look to a foreign culture as something superior to our own" (67).

Lichauco (68) also notes that the presence of imported professors has aggravated the situation. These professors served

to strengthen the colonial status of the country as they, along with their Filipino colleagues, make it a point to [1] ignore imperialism as a factor in our economic problems, [2] propagate the notion that without foreign investment, our economic growth would be hampered..., [3] discredit the value of protectionism, and [4] continue with their apostleship of free enterprise.

Lichauco further observed that the instruments of American neocolonialism do not only include the public sector and the educational institutions, but also the business community and the mass media. Let me highlight succinctly the way the business community and the mass media served the imperialistic interests of the United States in the Philippines before I proceed to the discussion on technological domination.

The business community, especially the export bloc and the commercial bloc, according to Lichauco, has represented the imperialistic interest of the United States and perpetuated the disadvantaged position of the Philippine economy. The export bloc, e.g., at the time in which Lichauco (71-2) was writing, the sugar industry, "is among the loudest and most prominent of those advocating a liberal and generous treatment of foreign investment and the maintenance of a free and open economy" simply because the exportation of sugar, which proved to be immensely lucrative, was made possible through the very workings of a free and open economy. The commercial bloc, on the other hand, cannot afford to sever its alliance with (American) imperialism because its profits are derived mainly from the importation of American and other foreign products in the country. For this reason, a large part of the business community continues to preach imperialism in the country while turning a blind eye to its oppressive character.

Finally, there is the role of the mass media. The mass media can be a potent instrument of political and social education; yet, once tampered, it can easily become an effective instrument of propaganda. For Lichauco, this was what happened in the Philippines when it was granted (sham) independence in 1946. In addition to the other instruments of imperialism mentioned above, the American imperialists also needed the mass media in order to continue capturing the mind of the Filipinos and generating support from the rank and file of the educated class (80). Lichauco (81) notes that during the early part of the second half of the 20th century, the mass media in the Philippines were dominated by foreigners who were successful in "guiding the

public opinion in directions which, if not openly sympathetic to the goals and instruments of imperialism, at least vitiate public recognition of and wrath against these goals and instruments." While the full and free flow of truthful information safeguards individual liberty and at the same time sustains a healthy democratic process, the manipulation of this same information can lead to disastrous ends. Such was the case in the Philippines.

TECHNOLOGICAL DOMINATION AND THE TRANSFORMATION OF THE FILIPINO MIND

The strikingly long history of uninterrupted domination of the Filipinos by colonial powers has produced a society similar to what Frantz Fanon described as "the wretched of the earth." It is a society where people remain stripped off their identity and deprived of their national wealth. Indeed, after more than four centuries of colonial oppression, the vast majority of the Filipino people remain in dire poverty, a poverty that continues to be overwhelming in the social image of the country. In his *Imperialism and the National Situation*, Lichauco (109) explains the impact of neocolonialism on the Philippine society:

The massive and deepening poverty of our people, the rising unemployment, the inflation that has gone beyond control, the infantile state of our military and productive capabilities, the disoriented state of our educational system, the remorseless exploitation to which our economy is being subjected, and the social anarchy which these conditions have bred are all traceable, directly and ultimately, to our status as a neocolony. It is a status which reflects the imperialist phenomenon in this country.

However, it is important to remember that such colonial domination was met with bitter resistance from the native population. As a matter of fact, there were more than two hundred revolts of uneven scope that continually threatened the Spanish colonial regime while a considerable rise of resistance to American domination was observable toward the end of the American occupation period. But during the postcolonial period, when the Philippine society entered the age of "consumerism", mimicking

the economic organization of the advanced industrial nations, resistance has been steadily vitiated and the Filipino people are becoming increasingly complacent. Although remnants of these resistances are observable within Philippine society today, it is undeniable that many Filipinos are becoming uncritical as we can see in their indifference towards social and political issues of national concern. I would argue that technological domination and the deliberate imposition of the American way of life upon Filipino society have contributed largely to this condition. In fact, Mel van Elteren (169), an expert on American influences abroad, contends that technological domination is the ultimate form of domination the Americans have employed in pacifying conquered foreign territories.¹ And contrary to what Jennifer McMahon (209) believes, for whom it is the establishment of political institutions such as the Supreme Court and the military bases that regulated the feelings as well as the conduct of the Filipinos and transformed their culture in general, I believe rather that it is technological domination as a special kind of cultural domination that played the most crucial role, and not the militaristic, the economic, and the political. It is technological domination that finally erodes Filipino critical consciousness, which in turn makes "resistance" to all sorts of domination a remote possibility.

In the Philippines, such technological form of domination is all the more pernicious as it involves an exogenously developed model that is superimposed upon and represses the native cultural resources. The violence of this phenomenon is double: to the violence experienced by populations from the center is added the violence of cultural imposition, the loss of one's soul at the hands of a culture that has not even grown endogenously. Even more tragically, as was said earlier, that imposed alien culture even contains features that can only produce self-loathing and a sense of inferiority in the recipient culture.

1. Technological Domination and the Work Attitude and Consumption Habit of the Contemporary Filipinos. In order to understand the fact that the Philippine society has become "uncritical" especially during the postwar period, it is necessary to take a quick look at how the work attitude of the Filipinos and their consumption habit had been modified by the introduction of "consumerism" at the turn of the twentieth century. This is crucial because the new form of social domination the Americans

imposed upon the Filipinos was intimately associated with a market economy that requires wage laborers and insatiable consumers. I do not intend to give an essentialist view of the work ethic of the Filipinos and their consumption habit. Rather, I simply want to present an overall image of how they approached work and the way they consumed goods and show how these were deliberately modified by the Americans to facilitate the smooth entry of capitalism in the country.

Although an advanced form of labor class began to emerge toward the end of the nineteenth century, still the general attitude of the Filipinos regarding work, at least during the first decade of the twentieth century, was specifically geared toward the procurement of their basic needs and for the advancement of the entire community. Most of the time, the Filipinos worked on the familial level to obtain the necessities of living, but also did extra-familial work such as the construction of roads, bridges, and churches. Work was viewed here as “cooperative work”, notably in the *bayanihan* system, where people in the community or at the sub-community level such as the *barangay* labored voluntarily for public improvements and for mutual benefits. In this type of work relations, large part of performed labor was not paid in money. Labor was not yet considered a commodity exchanged in the market against a wage. Instead, labor was “rendered on the expectation that it would be returned in kind at a later date” (Bankoff 62). Of course, there were some exceptions. Qualified forms of wage labor existed in some parts of the archipelago such as the tobacco industry in Cagayan Valley, the British-owned railway, and the Manila docks (66). Yet, as Greg Bankoff noted, it was an extremely limited labor market, which was restricted to only a few relatively urbanized areas. Thus, when the Americans came with the attempt to establish a specifically American-style colonial society, they were faced with a fundamental problem inherent in the “cooperative” nature of labor relations in the native population: the absence of competent wage laborers and insatiable consumers upon which a market economy depends for its foundation.

It was therefore necessary for the Americans to integrate the Filipinos into the wage-labor market and train them to become both competent laborers and insatiable consumers. To all intents and purposes, of course, this is what every consumer society aims to achieve. As Douglas Kellner (147) puts it, “One of the main

functions of the culture industries is to shape the needs, attitudes and behavior of the individuals so as to integrate them into the consumer society." However, the deep-seated traditional attitude of the Filipinos toward work upset the Americans. The Filipinos were not willing to sell their labor in the market. While some of them responded to the Americans' aggressive recruitment for wage laborers, they turned out to be poor laborers. According to Bankoff (78), the Americans viewed the Filipino workers "to be slow, shiftless, and often absent, to lack of initiative and require direction, to be without discipline, persistence, or a sense of responsibility, like 'capricious schoolboys.'" Furthermore, the Americans thought the Filipinos "could seldom be induced to spend long periods away from home without compulsion, as their 'whole life interest is local and embodied from childhood in habitual personal intercourse with a small group of people'".⁴ In some cases, those who worked with the Americans, for example in the construction of the Benguet road, most often worked for only two days in one week simply because their income for two days was more than enough for the rest of the week (78). This made the Americans devise techniques to lure the Filipinos to join the labor market.

According to Bankoff, the first stratagem the Americans devised was to offer higher wages. This was done with the expectation that with higher wages, the Filipinos would be encouraged to sell their labor in the market. Yet, as it turned out, the Filipinos remained unresponsive. One obvious reason to this could be the nature of production existing at this time. Because production was mainly need-based, money was of less value as there was practically nothing to buy except food and other basic supplies.⁵ The Filipinos did not see the necessity of spending time in the labor market (Murray 775).⁶ This compelled the Americans to devise another stratagem which proved to be very effective so that until today it continues to serve as the foundation of an American-oriented consumer society in the Philippines: the creation of "wants." This technique resulted in the complete domination of the Filipino workers and the consumers, on the one hand, and the putting to work of the entire country, on the other, for the benefit of the capitalist machine.

In the first decade of the twentieth century, the first appearance of such "wants" was clearly not as sophisticated as those in modern societies. But at least with the establishment of the

Payne-Aldrich Act in 1909, cheap American goods from food and beverages down to clothing, household gadgets, shampoos, bath soaps, detergents, and the likes rained down on shops and stores, giving the Filipinos for the first time in history enormous choices of consumer goods. Not long after, techniques of controlling “desire” such as commercial advertisements were introduced. Billboards and commercial ads in magazines and newspapers supplemented the stores and shops in contriving the desire of the Filipinos for consumer goods. The introduction of Coca Cola in 1927 was a concrete example. In one of its video commercials, traditional Filipino cultures such as the folk dance *tinikling* and the typically Filipino way of working cooperatively in the rice paddies were used in promoting its product. The Filipino farmers who in the olden times used to relish the freshness of the locally produced coconut juice during breaks in the farm were made to believe that grabbing a drizzling bottle of iced cold coke is the best way to refresh the body from gruelling work.

The technical control of the work attitude and consumption habit of the Filipinos through the creation of wants proved quite successful in addressing the problem of labor shortage. This can be illustrated by the proliferation and diaspora of overseas Filipino workers (OFWs) in recent years. It can be observed that a century later, the same Filipinos who were infamous for their lack of discipline and aversion to wage labor are now transformed into “workaholic” individuals, not to mention of course that they need to work abroad for a decent living. Since the late 1970s to date, millions of OFWs have been sent around the world to work in the Middle East, the United States, Canada, Australia, New Zealand, and Europe. Many studies dedicated to the phenomenon of overseas Filipino workers agree that the latter are exemplary for their industry and strong motivation to work (Villegas 163). In fact, it is very common for Filipino workers in Canada and the United States to have two or three jobs, working between fifteen to eighteen hours a day, a phenomenon that could hardly be imagined during the first decade of the twentieth century. And today, the remittances of these OFWs have become the number one source of revenues of the Philippine government. In 1978 alone, the Philippine government dispatched 45, 000 Filipino laborers to 103 countries as part of its program to export labor force (Philippines Repression and Resistance 102). According to the 26 September 1980 issue of the *Far Eastern Review*, these OFWs brought foreign

exchange remittances of about one billion US dollars in 1979 (103). This was surpassed by .3 billion US dollars in just the first two months of 2009. From January to February 2009, while the global financial crunch was still reeling, the OFWs remitted 1.3 billion dollars (Overseas Filipino Workers). This prompted the government to declare the OFWs as Bagong Bayaning Republicang Pilipinas (New Heroes of the Republic of the Philippines), perhaps in an attempt to conceal the psychological sufferings these OFWs bear in foreign countries and to encourage more Filipinos to sell their labor power abroad. But despite the government's adulation on these OFWs, no words can alleviate the profound sufferings they experience. The humiliating discrimination and the yearning for the loved ones left behind are plainly indomitable. However, because the work ethic imposed by the Americanization of society has already penetrated the psyche of the Filipinos, coupled with grinding poverty, no amount of flattery is needed today to incite the Filipinos to go and work abroad.

The creation of new wants did not only serve the Americans well in addressing the problem of insufficient labor. In line with their goal of conditioning the Filipinos' taste for and appreciation of American culture and products, the Americans also effectively changed the consumption habit of the former via the destruction of the "cooperative" nature of labor relations, thus producing "insatiable consumers" (Apilado 31).⁷ The influx of cheap American goods in the country embedded the Filipinos' taste for imported goods which in the long run contributed to the intensification of one of the age-old problems in the Philippines: "colonial mentality". With this, consumerism has finally become a way of life for the Filipinos—they behave, consume, and even relax the American way. They themselves have become the steering gear that propels the smooth functioning of capitalism in their country even though so many of them continue to directly suffer from it. And as they have now identified themselves with American consumer goods, they no longer see the necessity of ridding themselves from long and hard labor, of rejecting American culture, of resisting domination. Constantino (1978: 172) believes that this was how the Filipinos had become few decades after the establishment of the American colonial society in the Philippines. He writes:

We are a nation of consumers; we are a people whose sense

of purpose has been distorted by the dream of acquiring more and more of the “goodies” of life, of owning most of the things that proliferate in the world of commodities. We are a people who have been made to believe that these are the real goals of life and we therefore devote all our energies to the acquisition of more consumer goods.

2. Technological Domination, Disappearance of Critical Media, and the Sexual Objectification of Filipino Women. The above discussion shows how the American colonial power has successfully transformed the work attitude and consumption habit of the Filipinos through the creation of “wants” that reproduced labor power, provided the condition for the continuation of material necessity, and intensified consumption. It also initially explains how the Philippine society has become uncritical despite the need for social action. But the whole process of technological domination cannot be seen only in the creation of “wants”, in producing more commodities and delivering these commodities to satisfy the desires of the Filipinos. Technological domination is also evident in the displacement of much of the critical media that flourished toward the end of the Spanish regime with those that portray the eroticization of consumer goods as well as the commodification of the “body,” especially the sexual objectification of Filipino women. In what follows, I will present succinctly the development of critical media in the Philippines and try to show how it was displaced by American-oriented media such the Hollywood-patterned Philippine cinema, entertainment radios, televisions, magazines, tabloids, and other print media.

2.1. Development of Critical Media in the Philippines. Tomas Pinpin, the father of Filipino printing, established the first newspaper in the Philippines in 1637 called *Successos Felices*. This 14-page newspaper was devoted to the raids of the Muslim pirates in the archipelago. *Successos Felices* was followed by *Aviso Al Publico*, a paper distributed for mass readership which acted as the town criers of Spain in the Philippines. In August 1811, the Spanish colonial government put out the *Del Superior Gobierno*, the first regularly issued newspaper giving news about the Napoleonic invasion of Spain which also served as powerful weapon in fighting for emancipation. Several important

newspapers followed such as the *El Ramillete Patriotico* published on 25 March 1821, *El Noticioso Filipino* on 29 July 1821, *La Filantropia* on 1 September 1821, *El Filantropo* and the *Noticias Compiladas de los Papeles Publicos de la Peninsula* both in 1824, *Registro Mercantil de Manila* in 1824, *El Noticiero* in 1838, *Semanario Filipino* in 1843, *La Estrella* in 1846, and *Diariong Tagalog* in December 1889 (Haban). These newspapers, except *El Ramillete Patriotico* which was liberal and sometimes sarcastic and unbridled in speech, and *Diariong Tagalog* which adopted a nationalistic tone, were mostly uncritical of the Spanish colonial government. It was not until the publication of *La Solidaridad* on 15 February 1889 that Filipino scholars boldly challenged the abuses of the Spanish friars and officials in the Philippines as well as lobby for independence.

La Solidaridad was the official publication of the Propaganda Movement whose contributors included Jose Rizal, Mariano Ponce, Marcelo H. del Pilar, Graciano Lopez-Jaena, and other scholars who would soon become some of the most important leaders of the 1896 Revolution. The newspaper's aim was to promote democracy and liberalism, to expose the real plight of the country, and to work peacefully for economic and social reforms. Due to financial difficulties, *La Solidaridad* ceased publication in Madrid, Spain on 15 November 1895. However, two months and three days later, on 18 January 1896, with the founding of the Kataastaasang Kagalang-galangang Katipunan ng mga Anak ng Bayan (Highest and Most Respectable Society of the Sons of the People), *Ang Kalayaan* (Freedom/Liberty) was published. As the official newspaper of the Katipunan, *Ang Kalayaan* was the first revolutionary newspaper in the Philippines that informed the Filipino people of the aims and activities of the secret association. It also reflected the ultimate political ideal of the 1896 Revolution, that is, complete separation of the Philippines from Spain the motherland.

Although the first issue of *Ang Kalayaan* had never been followed, it contributed largely to the development of Filipino critical consciousness. In fact, from its founding on 7 July 1892 to 1 January 1896, the Katipunan had less than 300 members; but with the appearance of *Ang Kalayaan*, its membership grew to as many as 30, 000 by the outbreak of the Revolution on 30 August 1896. "The publication and distribution of *Ang Kalayaan* immediately influenced the thinking and feeling of the masses. It awakened the people and encouraged them to join Katipunan. The people

became aware of their rights and duties to their country and had prepared them to shoulder the risks demanded of them."

During the American period, newspapers with a nationalistic tone were suppressed and only those that paid lip service to American colonial policies were allowed, like *La Democracia*, the first Filipino newspaper that recognized American sovereignty in the Philippines. *La Patria*, which openly called for freedom and independence and directly challenged *La Democracia*, was closed by Gen. Arthur McArthur. Its unfazed publisher, Pablo Ocampo, put out *La Libertad* and continued the fight for freedom and independence. As expected, the American authorities banned the newspaper and exiled Ocampo to Guam for two years. Meanwhile, Rafael Palma, the editor of *La Patria*, founded *El Nuevo*, which bitterly criticized American military rule in the country. Other newspapers like *El Grito de Pueblo*, *Kapatid ng Bayan*, *El Filipino Libre* which also demanded freedom and independence and criticized American military rule, were also established. But unlike *La Patria* and *La Libertad*, these newspapers were not closed by the American authorities though they were severely censored.

Perhaps the fiercest paper that denounced American rule in the Philippines during the first half of the twentieth century was the *Sakdal*, a weekly tabloid published in Tagalog. It tackled issues such as "corruption and mismanagement under the American-sponsored Nacionalista administration, immediate independence for the Philippines, and the land reform problem" (Sakdalista). Like *Ang Kalayaan*, *Sakdal* proved once again to be a very potent vehicle for the promotion of critical consciousness among the masses. *Sakdal* became very popular with many sectors in the Philippines, especially the peasants, providing them with an important avenue to express their grievances. As a matter of fact, it was reported that about 60,000 organized peasants called Sakdalistas from San Ildefonso, Bulacan, Tanza, Caridad, Cavite, Cabuyao, San Jose, Laguna, and Rizal revolted against the government on 2 May 1935 (Davis 36).

2.2. Disappearance of Critical Media and the Sexual Objectification of Filipino Women. Throughout the Japanese occupation period, several newspapers continued to demand for independence despite the threat of imprisonment or even death. But when the Americans returned to the Philippines after World War II, a dramatic decline of critical newspapers took

place. It was not because the American authorities or the Japanese Imperial Government were successful in putting out the ardent desire of the Filipinos for independence. In fact, the more the colonizers used force to pacify the desperate yet determined Filipino revolutionaries, the more critical and unrelenting they had become. It was the introduction of American-oriented mass media that promote the eroticization of consumer goods and the sexual objectification of Filipino women that washed out critical media in the Philippines. Indeed, the postwar period witnessed a dramatic shift of the function of Philippine media from an advocate of freedom from colonial powers into a potent weapon of the consumer culture tying commodities to sexuality. Consider, for example, how Globe Tattoo Broadband is advertised by a sexy lady in bikini. This should make us question the logical connection between the broadband and sexuality.

When one observes the Philippine media landscape today, from print to broadcast, one is forced to conclude it has been reduced into a form of entertainment. Its purpose is the glorification of the commodity, whose appeal is systematically tied to the promise of sexual gratification. It is replete with provocative images of women, with massive display of billboards carrying obscene images situated on strategic places in the streets and the rooftops of buildings. The public, upon seeing these lusciously displayed women's bodies, are thrust all at once into the sphere of business that transforms their thoughts into fluids lubricating the commercial engine of mass media. This is troubling on several fronts. First, because the woman's body is used in order to sell. Secondly, since this appeals to the promise of sexual gratification, it anesthetizes the suffering the broad masses of Filipinos bore for such a long time and flattens the fledgling critical consciousness, which had developed to such an extent at the turn of the twentieth century. Magazines such as *FHM Philippines*, *YES!*, *Cosmopolitan* and sexual tabloids like *Remate*, *Tiktik*, *Abante*, and *Bulgar* are concrete examples.⁸ These media deliver to the masses a kind of entertainment that taps into their deep sexual impulses and by doing so turns them into compliant individuals. The famous members of the first generation of the Frankfurt School critical theorists, Theodor Adorno and Max Horkheimer, already saw this sexualized dimension of the culture industry coming, from their perfect vantage point of view being immersed in American culture in their American exile in the middle of the 20th century.

In *Dialectic of Enlightenment*, they write:

Pleasure always means not to think about anything, to forget suffering even where it is shown. Basically it is helplessness. It is flight; not as is asserted, flight from a wretched reality, but from the last remaining thought of resistance. The liberation which amusement promises is freedom from thought and from negation (Adorno and Horkheimer 138).

The presence of these lifestyle, fashion magazines and tabloids, and other media such as the Internet, television, and radio that associate sexuality with commodities have had profound effects on Filipino women, especially the vernal population. Even if some empirical researchers question the actual effectiveness of this technique of associating sexuality and commodities in advertisements (Stern and Handel 284), the point to consider is the subliminal overall effect it has on the consumers. Consumers seldom take into consideration the product being advertised, especially if it is far beyond their economic capacity, but the aura of the advertisement per se subliminally forces them to mimic the model or, to be precise, obey what the message of the advertisement commands. Let us take for example their impact on the notion of physical attractiveness and self-improvement. For centuries, at least during the Spanish colonial period, decency and being refined typified the notion of "attractiveness" of Filipino women. They were supposed to possess the characteristics of a "Maria Clara," the main female character in Jose Rizal's *Noli Me Tangere* which symbolized Filipino women's virtue and nobility. My point here is not to romanticize the past, but simply to show how the introduction of American-oriented consumerism radically changed these virtues by teaching Filipino women that being attractive means being sexually desirable. And to be "sexually desirable" implies many things which the American culture industry defines in terms of criteria and is only too happy to provide for in terms of commodities to purchase, such as being thin and well-shaped, wearing cosmetics and erotic dress, etc. Put simply, the mass media that was introduced in the Philippines with the US invasion taught the Filipino women that to be attractive means to be able to inflame the sexual desire of men. On the other hand, Filipino women in the past, again, at least

during the Spanish colonial period, focused on becoming more well-mannered as a way of improving themselves. The pursuit of higher education in later years can be added to this. But the Hollywood-oriented regimen imposed upon the Filipino women seems to have taught them that self-improvement has something to do with the improvement of their "bodies." Thus, we see Filipino women today undergoing breast implant, liposuction, plastic surgery, and the like as a way of improving their personality. This is the kind of personality American culture has projected in the Philippines. Against the background of the ideals of the 1896 Revolution, as reflected in the critical media of the prewar period, which projected an image of an individual freed from the shackles of colonial oppression and American capitalism, we can see the amount of cultural regression that has occurred as a result of a century of colonial and neocolonial domination. This is only one concrete example of how the American mass media has contributed to narrowing down the capacity for critical thinking in the Philippines.

Servando Halili (168) argues precisely in this sense, showing that the use of female body has directly helped advance American imperial policy in the Philippines during the early period of the American occupation. I wish to add that in the postwar period, the sexual objectification of Filipino women became one of the leading factors that facilitated the entry and sustenance thenceforth of American capitalism and neocolonialism in the country. I would even claim that the power of diversion wielded by the modern media, resulting from the massive emotional and intellectual investment it is able to extract from the consumer-watchers through its refined techniques of manipulating the instincts, in fact has done much to divert attention away from American brutalities and to conceal the anomalies of economic and military treaties entered into between the Philippines and the United States. The massive portrayal of eroticized consumer goods through advertisements in magazines, tabloids, newspapers, and televisions has enabled American capitalists not only to sell more and profit from the Filipino masses, but has been a direct instrument in making the Filipino masses indifferent to pressing the social and political issues. It has produced a psycho-social condition that inhibits the Filipino masses from militating against a society that breeds massive poverty amidst abundance. Even when poverty and social suffering are in fact represented,

this occurs through the lens of the canons of culture industry that totally depoliticizes the issues. As Eva Illouz (240-41) has shown very well, this form of mass culture turns the spectacle of suffering into sheer entertainment and at the same time makes people morally callous.

CONCLUSION

The discussion above shows that the four types of domination that the American colonisers employed in order to repress the Filipino revolutionaries have contributed largely to the stagnation of the Philippine economy and the destruction of the body politic, as well as the intensification of violence and social injustice in modern day Philippines. As a matter of fact, the Philippines today is facing enormous social problems and forms of injustice, like abject poverty, massive unemployment, corruption, military oppression, extra-judicial killings, various forms of human rights violations, gross and rising inequality between rich and poor. Although there are several significant factors that caused the existence of these problems, it can be argued that these problems have been compounded and entrenched by the invasion of the country by capitalistic forces relayed and aided by local elites and local institutions.

It also shows that the American colonizers employed technological domination in a variety of ways to overcome the challenges that stand on their way in pacifying the recalcitrant Filipinos, which has eventually concealed the brutalities they committed during the early phase of their stint in the Philippines. One might well wonder whether it was done consciously or unconsciously. However, this does not discount the fact that technological domination has substantially eroded Filipino critical consciousness that developed toward the end of the Spanish colonial period. Again, the disappearance of critical media aimed at exposing the insidiousness of the American colonial government during the first half of the 20th century is a concrete example. This is indeed the American moment in Philippine history, the one for which Filipinos should not be oblivious to so they may meaningfully make sense of the present.

NOTES

1. Despite what Alfred W. McCoy claims, for whom the Philippine Insurrection was over a year after the surrender of Aguinaldo and other leaders of the Revolution.
2. Which is PhP2 : US\$1 under the Tydings-McDuffie Act.
3. Mel van Elteren uses the terms "cultural imperialism" and "culture of consumerism" interchangeably to refer to "technological domination."
4. However, Bankoff notes that the Filipinos could not be held responsible for their lack of work ethics. He writes: "The mantle of over 300 years of benighted Spanish 'repression,' particularly the enforced labor of its population and the 'restrictions' on commercial activity, had stifled any hope of upward social mobility and reinforced the notion that manual labor was both degrading and unrewarding." Bernardo M. Villegas, however, argues that the perceived laziness of the native population is a misinterpretation of the work attitude of the Filipinos. The Filipino workers, especially the rice farmers, usually spent more time idling only after a particular hard work is done, like planting and harvesting. The grueling work in the paddies forces the farmers to develop the habit of "dolce farniente" or sweetly doing nothing. Villegas writes: "The rice farmers cannot be accurately described as lazy. By force of circumstances, they generally cultivate a certain taste for "do-nothing" activities after a limited period of hard work."
5. This was probably one of the reasons why the Spaniards imposed forced labor on the Filipinos during the Spanish colonial period.
6. It should be noted that the Spaniards experienced the same problem during the Spanish colonial period. In order to address this problem, and believing that sufficient supply of wage labor is one of the keys to economic growth, the Spanish colonial government in the Philippines changed their policy in the mid-nineteenth century to encourage the Chinese wage laborers to immigrate in the country.
7. Apilado notes that the technique of manipulating the Filipinos' desire for American culture and consumer goods was successful. Eventually, as it was hoped, the Filipinos did not want to do away with American rule.
8. Central to *FHM Philippines* is its intent to please its readers by featuring sexy and sweltering women that almost range from cover to cover. *YES!* delivers to the masses what is new about Filipino celebrities, especially women. It specifically features what these celebrities possess like their luxurious homes, cars, gadgets, dresses, jewelries, including even a half million pesos worth of Chanel purse. Of course, these accessories reinforce the American standard of being "beautiful" introduced in the Philippines. Candy, magazine for the teenagers, teaches teen girls how to make the most of their teen years but in a manner that tends to unleash their sexuality.

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RESPONDING TO BRILLANTES AN EVALUATION OF STUDENT RESPONSES TO 'FAITH, LOVE, TIME, AND DR. LAZARO'

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This paper draws on reader-response theories to bridge the gap between the reader and the text, a serious concern in literature classrooms. Taking a look at this connection, the study evaluates reflection papers written by students from four different Philippine literature classes on Gregorio Brillantes' short story "Faith, Love, Time, and Dr. Lazaro." It peruses the effects of the interaction of reader and text—how the reader interprets the text, to what extent does s/he use the cues in the text, how does s/he relate her personal experience to get meaning out of the text, and in the process of reading, what have the reader realized. It is the hope of this paper to prove that reflective reading—an intellectual as well as personal experience for students—anchored in the text, will help them create meaning of literature and the reading experience and reate such meaning to their lived experiences.

KEYWORDS: text, reader, response, transaction, reflection

INTRODUCTION

LATELY, THE READING of literature has become an ordeal for students in the undergraduate courses. It does not help to know that the formal study of literature is confined to a number of college students that is getting smaller and smaller every year. The task of the literature teacher then becomes equally arduous. We want our students to read works that we consider of value; we want them to learn how to discover this value/learning; and we want our students to discover this value or learning, thus, appreciating literature.

Except for a few, this is a difficult task for most students. Often, they are inhibited in formulating genuine interpretations because they fear that their interpretation is "incorrect." Students often feel that only those who possess superior abilities can understand the "deep words" of a poem or the "profound meaning" of a story.

If we must free our students from the inhibitions of reading literature and cultivate a profound sense of involvement in reading and learning, then we must touch-base with their responses. In this way, we do not only foster trust in our students we also acknowledge that they are in their own way legitimate readers.

Related Literature and Studies

Readers are essential because as George Poulet, in his *Phenomenology of Reading* (1969) would say "[b]ooks are objects.... [that] wait for [the reader] to come and deliver them from their materiality, from their immobility." Both reader and text bring the work into existence. Iser (1974) believed that the literary work is a product of reader and text; meaning resides neither in the text nor in the reader alone. Rosenblatt (1988) proposing to use the term 'transaction' to label the convergence of reader and text, posited that in the two stances that one takes in reading—*efferent* stance (one wants to carry away something) and *aesthetic* (one is involved in the literary experience)—the reading of literature must fall in the middle of the continuum. Rosenblatt

(1993) further stressed that these two, stances, both aspects of meaning, must be involved for they are "always present in our transactions with the world."

In the application of reader response theories to the teaching of literature, Galda and Beach (2001) traced the relevant studies done on students' responses to literature and their implications to classroom practice. Galda and Beach noted that early research on text focused on the textual content as well as the author, and how the structure of the text influenced students' responses; but later research would include how ideology and societal norms reflected in the text influenced readers' responses to it. What the studies implied was that research in the future would probe the implications of how contextualizing literary responses affect the teaching of literature.

Probst, Purves and Yancey discuss how reader-response theories are lived in their literature classrooms. For Probst (1981), the literature classroom that anchors on reader-response theories starts with the students' initial response to the text. Probst cited an example where the poem "View of a Pig" by Ted Hughes was discussed. When "personal significance" of the text was established and "personal associations" were made, Probst observed that the more students explained their responses the more they were drawn to the text. Some students related a personal experience similar to the poem that somehow the poem made them understand that particular experience better. For Probst, it is important to take note that although there are interpretations that are unacceptable, "...meaning is made, not borrowed, and the making of meaning is a difficult and personal undertaking." Probst reiterated that the reader-response based teaching of literature does not intend to make the classroom discussion "anti-intellectual" or "emotional," however it takes into consideration that through the text, the students can understand themselves and the world and that meaning-making is, in fact, a rigorous process.

Purves (1996) focused on the intellectual activity involved in reading a literary text. He emphasized that what is involved is careful reading. The author in discussing his approach in the classroom starts with a textual analysis of the text, moves on to the text's context, and then on the students' own context. He also encouraged textual comparisons. Through these steps, an interpretation of the text was arrived at by students who had to go through a process of "reflection and refraction." And when this

happened, the work and the reader could become each other's mirror, reflecting but at the same time changing each other. Through reflection, students are engaged in "a more thoughtful and disciplined way of talking with others about a piece of literature and by extension about [their] daily lives." Although literature does not provide exact answers, this exploration into literature or this habit of reflection and refraction is the foundation in which students deal with information in other contexts (e.g. law, business, etc.).

Reflection is also a central concept for Kathleen Yancey (1998). In her book, the author noted the gap between the learning and the meaning making process happening in the classroom to that of the real world. To bridge this gap, she saw the need to make the reading and writing relevant to the students' lives. She suggested that the teacher could make use of other resources such as the hypertext (texts from the Internet) and encourage students to reflect on the learning process (by compiling a portfolio) so that students actively participate in the learning experience. For Yancey students become active in the learning process when they talk about what they have learned. Yancey saw reflection as an avenue through which "...we understand ourselves through explaining ourselves to others."

In our context, authors who write about teaching literature, though emphasizing primarily the need for textual validity, are not altogether dismissive of the idea of personal responses to a text. De Ungria (2002) acknowledged that in teaching a poem, several responses were drawn out by it— intellectual or affective, or it could be both. He pointed out that the main point "[was] to encourage students to connect with the texts and to form opinions about these..." but that students must also realize that the different opinions must be validated by textual reference. J. Neil Garcia (2002) in writing about how to teach a poem would begin by taking the students through the auditory experience (that is, listening to the poem read aloud) and proceed to the formal analysis of it. While Garcia was "ministerial" about teaching the students how to analyze a poem through looking at its formal elements, he also welcomed the idea of "alternative" or varying interpretations in "the level of theme." In Jose Dalisay, Jr.'s essay "One Story at a Time" (2002), he acknowledged the concerns regarding the teaching of literature: teachers, preoccupied with "meaning and relevance" reduced a complex story into a "moral

or social parable”; and that the author knew everything about the story—a misconception. Dalisay clarified that our role, as literature teachers, was to help students formulate their readings and encourage them to share these readings and in the process “negotiate meaning” with others.

Studies by Squire (as cited in Billiard, 1967) and Garrison and Hynds (1991) are relevant because they examine student responses, with the former focusing on the effect of text to reader and the latter examining in detail the reading process.

Squire’s study (as cited in Billiard, 1967) on responses of students to selected short stories yielded one important result. Students who were more personally attached to the text came up with richer literary responses; this result has therefore relevant implications as to what texts should be included in the curriculum and in the classroom. Garrison and Hynds (1993) focused on how readers interact with the text. In their research on how proficient and less proficient readers use evocation and reflection in reading, it was revealed that in responding to the stories, less proficient readers relied on their personal narratives and moved completely away from the text. Proficient readers however wove their personal experiences into their analysis of the story.

METHODOLOGY

This study did a content analysis on students’ written responses to Faith, Love, Time, and Dr. Lazaro, a short story by Gregorio Brillantes. Initially there were fourteen reflection papers (from four different Philippine literature sections—C, D, E, and K—in Silliman University) that were evaluated. Later, however there were only twelve papers included as the two others were completely text-bound, absent of apparent personal responses. Students in these classes were predominantly in their second year in college (usually 18 years old) and were Medtech (66 out of the 162, section C having the most number of Medtech students, 36 out of the 41) and Physical Therapy students (38 out of 162, roughly about 23%). Other courses (58 out of the 162) of these students include Arts (Creative Writing, Biology, Math, Political Science, Psychology), Business (Entrepreneurship, Management, Accountancy), Music, Mass Communication, and IT. Nine (9) out of the twelve (12) papers were written by second year Medtech

students. One was written by a Physical Therapy student, another by an Accountancy major, and the last one by an Information Technology student.

In writing the reflection paper, the students must simply present at least three reasons why they chose the text. The basis for the choice was quite simple; they had to choose a text—from the several discussed in class—that struck them most (they either liked it or hated it). This would explain why out of the one hundred sixty two students in all four sections, less than 10% of the total number was evaluated. Other students chose other texts in the reading list (both of us the researchers share the same course outline and reading list) that included poems (among others were “Bonsai” by E. Tiempo, “It was” by J.G. Villa, “Landscape II” by C. Angeles, “Breaking Through” by M. Pena-Reyes, “X Sight” by C. Aquino, “Alms in Noon Traffic” by E. Torres, “Letter to Pedro, U.S. Citizen, Also Named Pete” by E. Amper) and short stories (among them “Dead Stars” by P. Marquez-Benitez, “The Mats” by F. Arcellana, “The Summer Solstice” by N. Joaquin, “Magnificence” by E. Alfon, “The Virgin” by K. Polotan, “Flip Gothic” by C. Manguerra-Brainard, “Geyluv” by H. de Dios,). There were a total of 25 texts that students chose from in writing their reflection papers.

A final requirement in class, the reflection paper (many thanks to Prof. Kelso for the idea) is aimed at encouraging students to “talk back.” Since the task required personal reflection and judgment, a simple “like/hate equals 3 reasons” criterion was used. In discussing the reasons why they chose the text, the students needed to revert back to the story to present a justifiable stance. In short, while students evaluated their feelings toward the text and examined it against their socio-cultural background, values, and biases, they were at the same time required to ground their responses to the story. The reflection papers also aimed at involving students and making them personally accountable to their own readings. Another requirement, say a critical reading of a literary text, would have intimidated students and would only, as we often experienced, merely encourage repetition of “borrowed meanings,” those that students download from the internet. This would defeat the whole purpose of involving students and making them think for themselves. Writing the reflection paper would hopefully provide an alternative route for them.

As to the choice of the short story, literary value and relevance

were the essential considerations in choosing it. Brillantes' works have been highly anthologized in Philippine literature textbooks and similar publications. Content-wise, the story touched on a universal concern about how people, young and old, deal with the existential question of God's existence.

In analyzing the responses of the students, the following research questions are used: [a] How do readers use what they see in the text to formulate their interpretations? How do they use their personal experiences to reflect on the text? [b] How do they see the character(s)? Through this image of the character, how do they see themselves? Through their own beliefs and views, how do they see the character(s)? [c] What are the implications of these responses toward the reading process and the teaching of literature?

RESULTS AND DISCUSSION

"Faith, Love, Time and Dr. Lazaro" is about an old country doctor who, seeing death always and losing his son, lost his faith in God. There is the wife who spends all her time in the service of the church and there is Ben, his other son who wants to be a priest. The story heightens as Dr. Lazaro journeys with his son Ben to treat a week-old baby with a terminal case of tetanus. He goes about his job with casual efficiency but the baby dies and Ben baptizes it. On their way home, Dr. Lazaro feels connected, albeit tentatively, to his son Ben but "...the glimmer was lost instantly, buried in the mist of indifference and sleep rising now in his brain."

In evaluating the responses based on the research questions, two strands of interpretive inclination reveal themselves: refusal to accept the character's loss of faith and refusal to confront the issues that explain character behavior.

Refusal to accept character's loss of faith. Student-readers in this category begin with textual references with the text but almost always get involved with their own moral and religious views that they completely separate themselves from the story.

One reader (student 6) begins to see the journey of father and son as something that "challenged [Dr. Lazaro] to change and bring back his faith." For this student, religious background figured predominantly in the reading and the choice of the text.

"As a newly baptized Christian, the story...[is] the one that [lights] up my mindFaith, Love and Time are the elements that contribute to the change of the aging medical doctor. When I became a Christian, I realized that it was not by good deeds that man [could] experience eternal life but it is through faith alone. ... Jesus Christ also emphasizes love which is the main reason why He died for us. Love heals every minute pain that we are feeling and it is also through love that we forgive someone..... At most times we ask something from Him, and we as ...imperfect individual[s], we desire to have instant answers from Him. Jesus gives something at perfect time. ... It could also be noted in the story in the old years of Dr. Lazaro, [that] God gave enlightenment through the nature of his job at the most unexpected time. Jesus tells us to wait for everything that He planned for it is flawless...

Great understanding was the thing that I [gained] after reading the story."

Reader 6 has completely lost track of the text. In fact the mention of the character's name seems to have lost relevance and connection to what she has lengthily discussed. There initially seems to be a promise of a discussion on character motivation and behavior when student 6 says *Love and Time are the elements that contribute to the change of the aging medical doctor*. However, she abandons this thought and moves on to relate her own personal journey of faith. Later, she goes back to Dr. Lazaro, *It could also be noted in the story in the old years of Dr. Lazaro, God gave enlightenment through the nature of his job at the most unexpected time*. Like what happened earlier, she refuses to elaborate to this claim but instead talks about what she thinks Jesus wants us to do. By implication, she might have referred to Dr. Lazaro as not "waiting." The "great understanding" that Reader 6 claims, seems to have stemmed from her refusal to accept the character and thus, retaining her religious views unquestioned.

Interestingly, the student also refuses to discuss the reasons of the character's loss of faith:

"In the first sentence of the first paragraph, when the author says that *Dr. Lazaro had a view of stars, the country*

darkness, the lights on the distant highway at the edge of town, provides evidence that Dr. Lazaro feels a kind of distance like stars, emptiness and loss. It is clear that he had lost something...."

There is a brief description of Dr. Lazaro but nowhere do we find the reason for the conclusion that student 6 presented, but instead we see a mere implication of such loss. It is clear that Dr. Lazaro has lost something; as to what that is, we do not know. Perhaps had student 6 discussed how Dr. Lazaro lost his faith she would have been more sympathetic to the character. Instead the student segues her imposition of religious beliefs by insisting that the character needs something:

"Like Lazarus, he needs to have a new life, a new beginning and redemption. With his son Ben in the picture, it was [as] though God brought Ben as an instrument [of] change for his father."

Instead of probing into Dr. Lazaro's character even further, the student cites Ben as the 'instrument [of] change and new life' for his father. Likewise, we can find this resistance of the reader to the text in three different modes in the next three papers: *identifying with the character that suits the reader's context, evading the questions/issues posed in the text, and moralizing about the story.*

Reading about the problems and challenges encountered by Dr. Lazaro, Reader 2 identifies instead with the wife as she justifies that trials happen to strengthen faith.

"This is what happened to the wife of Dr. Lazaro when their other son died, she became more dedicated to serve God unlike Dr. Lazaro [who] drifted from his faith and was poisoned by his profession."

As she identifies herself with the wife of Dr. Lazaro, she relates her own personal context:

"Personally, there are times when I feel like God is punishing me too much more than I deserve but I thank Him for the existence of prayers and bibles where in I can reflect ... and ... always think that God is just testing

my faith ... More often... human beings can never comprehend the works of the Lord especially when pain and suffering are being inflicted—that's where faith comes in....Faith is believing without fully-understanding."

In an attempt to ground her reading on the text, reader 2 presents evidence to support her stand as to how challenges and trials make faith stronger. She filters the text through her lenses as she tries to make sense of everything that happened in the story, even the death of the infant, as something that will yield positive results.

"...all things will work together for good... In the story, this was conveyed by Ben when he baptized the dying child. Even though death is sorrowful, he looked on the bright side of the picture wherein he baptized the child, believing that it [would] be saved.... In the story, this was portrayed by Dr. Lazaro in the end when he was willing to regain his faith yet he still has struggling issues with himself. "

This reader sees the tragedy of the infant's death as something that will eventually "[work] together for good" including Dr. Lazaro's loss of faith. She uses this tragic incident as a way for Dr. Lazaro to regain his faith, explaining that despite his "issues," he still has the willingness to change even when at the last part of the story the main character clearly was still indifferent. Again like reader 6, reader 2 does not probe into the main character's behavior and motivation. Instead she focuses on the character of the son and the wife—characters who she can identify with—to give basis and support to her religious views.

For readers 2 and 6, we see the interaction of reader and the text, specifically as to how the students mediate between their own religious views and the religious issues presented in the text. When confronted with an indifferent, unbelieving character, they instead evaded the task of understanding Dr. Lazaro and shifted to characters who they could understand. With these strong religious beliefs as basis, the two readers went back to the text and saw that Dr. Lazaro has been brought back to light, to faith, and life because of his son, Ben.

One student/reader (12), however, attempts to understand

the character's loss of faith and even becomes sympathetic to Dr. Lazaro:

"This is why I understand the pain that Dr. Lazaro has in his heart; it is hard for the doctor seeing random deaths such as a patient with cancer, whose racking pain even morphine can't assuage anymore; the baby of Esteban who is now dying from tetanus; but most of all, his eldest son who committed suicide. All of these summed up to what Dr. Lazaro felt about God."

Student 12 then proceeds to examine herself through the character of Dr. Lazaro.

"Because of these questions that Dr. Lazaro raised up (*sic*), it made me wonder if I would have the same questions soon if [I would] become a doctor. I don't want to consider these thoughts since I don't want to break my relationship with God but I guess I can't blame Dr. Lazaro also for having these thoughts because sometimes we will come to a point that when we have experienced all ...the pain in the world, we would questions (*sic*) the existence of God and why he's doing these things."

Although the student understands why people like Dr. Lazaro ask such questions, she still maintains that she does not want to contemplate these thoughts because "[she] doesn't want to break her relationship with God." Because student 12 needs to connect her beliefs to her sympathy towards Dr. Lazaro, she then acknowledges that the character needs something.

"...his soul was dead. He needs to [be] brought up to life and that journey he had with his son was a question of redemption, he [needs] to save himself from this emptiness and darkness he is feeling."

This acknowledgment paves way to the reading student 12 is inevitably bound to assert:

"At that moment, Dr. Lazaro finally ceases [*sic*] his darkness and saw his son's saving light."

As she finds peace in this conclusion, student 12 affirms her own faith.

"From that story, I learned a lot especially about spirituality. I can't blame people for losing their faith in God due to circumstances but it is never too late to be redeemed and saved from this darkness and emptiness. God may give us a lot of sufferings and pain but never stop trusting Him...He will let us understand His reasons and in turn we will love Him even more."

Although the student begins by showing sympathy towards Dr. Lazaro, she instead settles with the conclusion that through Ben, Dr. Lazaro regains his faith.

Reader 9 points out something positive in the story she can relate to but instead of contrasting this further with Dr. Lazaro, she refuses to accept the main character's behavior. In fact nowhere in the paper, do we find an analysis of the main character. Instead, this reader chooses to focus on another character who she likes:

"One part of the story that presents heart-warming scene is the scene where Pedro Esteban and his family really showed their love to their week-old baby."

When reading about Dr. Lazaro's situation, she also tries to empathize with Dr. Lazaro by putting herself in his place. She explains that when placed under the same circumstances that Dr. Lazaro has experienced, she will not lose faith and insists that Dr. Lazaro do the same.

"I should face it with much strength and courage and forget about the past in order for me to go on to the future with God's enlightenment and guidance just like Dr. Lazaro's realization in the end part of the story where he already decided to gain back his faith in God and forget whatever happened to his life in the past and have a bright new beginning."

Ultimately, student 9 dismisses the issues in the text and refuses to immerse herself further in a literary encounter that will

make her confront questions of faith; instead, she chooses to linger on the benefit that a reader can get from the text and proceeds to discuss her own beliefs:

“The point of this story, for me, is that, we really need to appreciate our life and not to be carried away by the problems that we have because these problems are part and parcel of [life] that’s why they are inevitable...He is the only who can fill the emptiness that we feel and our God is the only one who can satisfy the deepest longings of our souls.”

While readers 2, 6, 9, 12 almost always talk about personal beliefs that float away from textual references and evidence, Student 13 uses text-based comments but sifts through them to shape her own reading.

“Gregorio Brillantes did such a good job in using symbolism in the story. The way he used his words in emphasizing details on light and darkness in the story gave us an idea of good in (sic) and evil. It was clearly shown in this excerpt of the story: *He hurried down the curving stairs, under the motive lamps of the Sacred Heart.*

Student 13 sees the images in the story to signify what seems to be consensually the predominant theme of light and darkness, loss of faith and redemption, and how this translates to the immediate relationship the character has with his family.

When Dr. Lazaro hurried down the stairs it was like he was avoiding the light that the lamp was illuminating. It showed that the light was associated with Dr. Lazaro’s faith in God, wherein his faith in Him was lost. Other than this, it was also associated to those people he loves but are distant from him—just like his son, Ben. Due to his lost in [sic] faith in God, his relationship with his son wasn’t clear. It was as if there was a brick wall between the two.

Despite this close attention to details and a potential start to explore Dr. Lazaro’s relationship with his family, student 13 sees the character’s redemption at the end of the story without

reverting back to the text to explain how, firstly, Dr. Lazaro regained his faith and secondly, how he achieved closeness with his son. Apparently, student 13 has already interpreted that the father-son relationship is intimate even before Dr. Lazaro's loss of faith and now that the character regains his faith, the relationship will grow stronger.

"As he regains his faith in God, his relationship with Ben strengthened and they became close to each other more than ever."

In a final attempt at grounding her reading on the text, student 13 discusses the allusion of Dr. Lazaro to the biblical figure Lazarus.

"Also, the use of the name Lazaro in the story was actually patterned to the story in the Bible. Lazaro was likened itself [sic] to that [person in] the parable of Lazarus in John 11, wherein the death of Lazarus paved way to strengthen the faith of Mary and Martha. Lazarus was then revived by God as their [faith] in Him [became] greater...."

She notes this allusion but is unable to explain the contrast between Dr. Lazaro in the story and the Lazarus in the bible. Discussing her realizations, student 13 seems to have veered away from the text as she sees redemption in the end:

"From the start, I didn't really understand why Gregorio Brillantes chose to have the week's (sic) old child to die.... Eventually, as I read through the story I realized it was necessary, since it was here when Ben Lazaro baptized the child that passed away. Dr. Lazaro witnessing the baptism was definitely the turning point wherein, he regain[ed] his faith in God."

Like the students in the previous papers, when confronted with a tragic incident in the text, reader 13 interprets such event as ushering something positive: when Ben baptized the child, Dr. Lazaro "regains his faith in God." Despite making textual analysis, mentioning the symbols and the allusion, she reverts back to her own beliefs and sees something unsettling such as the death of the

baby as a catalyst that will change Dr. Lazaro.

If the previous students speak so certainly about their religious and moral beliefs, Student 8 prefers to talk about religion in general. He starts off by saying that he likes the text because it is personally relevant and reminiscent of his past experience:

"This is why I was [struck] by this text..., because I ...once [lost]... faith [in] God."

But instead of using his own past experience to understand Dr. Lazaro's character, he launches on a detached commentary on the state of religion and moral disintegration of society as a whole.

"All I can say about religion today is [it is] already tainted with people's ambition. ... [T]hey will only notice God when there's a problem, when they need something. I'm not being a religious man, but this is what I observed [in] my surroundings and made me curious if I'm going to believe God or not. We keep on praying rosary but I can't feel the presence of seriousness [in] praying.... Too many people praying to God, but when they are not in front of the altar or the Church, they talk about nonsense which can hurt others. Some are involved in violence.... As human [beings] we always tend to blame God [for] the things that happen in our lives especially the negative and it usually leads to [loss] of faith...."

Reader 8 could have used his personal narrative to shed light about Dr. Lazaro's descent to disbelief, and would have opened a richer reading. Because, the character in the story is not well understood and demystified, the student does not immerse himself in the text rather takes the flight out of the text.

By showing a doctor who has lost faith, who has experienced terrible events in his life, the story indeed challenges the reader's faith and religious beliefs. However in the previous papers (6, 2, 9, 12, 13, and 8—all Medtech students except 8, an IT student), they show that these readers resist these questions and rather identify with characters who share their beliefs, such as Dr. Lazaro's wife and his son Ben. Garrison and Hynds (1993) found out in their research that less proficient readers who are confronted with confusion would spin off from the text and discuss their personal

and emotional experiences. In this paper, though, we do not classify the readers; we simply analyze their responses. And in these responses we see how these readers come to the text with their own strong religious beliefs, and when confronted with questions that would force them to their own faiths, refuse to dwell on Dr. Lazaro's emptiness but focus on how he would be changed and transformed by his journey with Ben.

Since meaning-making is a 'personal process', according to Probst (1981), the text for these students (papers 6, 2, 12, and 13) is a story of "redemption." This is not entirely negative; in fact this is something gladdening in the sense that these students possess certainty in creating meanings for themselves from the experience of reading literature. Their responses, however, *can* be enriched and become more informed. Both Iser (1974) and Rosenblatt (1988) propose that for genuine 'virtual convergence' to exist, there must be reader-text transaction that lies in-between the text and the reader's realizations. As for these students, they refuse the aesthetic experience of moving in and out of the text and rather focus on what is more comfortable for them, a discussion of their own faith.

Confrontation of the issues in the text. Reader-responses in this category ground all explanation on character behavior and motivation on the text and at the same time weave in their personal experiences and moral-religious views. In confronting the existential question about the existence and nature of God, these students get involved in the text, moving back and forth the efferent-aesthetic continuum and successfully present a reflective reading by pondering about the immediate relevance of the text, contrasting themselves to Dr. Lazaro and affirming their faith while anchoring their views on the story.

As students who have chosen a career path that would lead them to hospitals, they have reflected *on the immediate relevance of the text to their lives* by looking at Dr. Lazaro as primarily a doctor.

Reader 1, for instance, considers the effect of the medical profession to Dr. Lazaro by saying that being a physician has affected his "spiritual life...and made him emotionally detached [from] his family." For her, she sees that "Dr. Lazaro gave his life away." And the reader takes off from this point to relate the story to her life as a future medical practitioner:

"As a Physical Therapy student, the story also made me realize that being a health care provider means sharing a part of [my]self with strangers."

Being aware of the struggles of doctors and other care givers, she also recognizes that

"[It] is not the patients alone that suffer within the hospital walls. These realizations helped me to prepare myself for my life as a future health care provider."

At this point, looking at the image of a disillusioned doctor, the reader also sees her 'future self' as a care giver and somehow prepares herself for the difficult life ahead.

Similarly, reader 7 also sympathizes with the suffering and death that Dr. Lazaro sees in hospitals every day, and Dr. Lazaro's inability to save his own son's life (Ben's brother who had committed suicide). The reader understands that these tragedies have taken their toll on Dr. Lazaro. Reader 7 further contemplates on how the text has affected him as a reader and extends his insights from the text and connects them to his situation. He says that he "...was enlightened on the future career that [he is] going to pursue." He admits, however, that it is not easy to deal with various circumstances such as the "responsibility" and "effort" that go with being a doctor but he affirms that "...the satisfaction that you can acquire from treating [a] sick patient is worth the effort." Although the reader understands Dr. Lazaro's problems and challenges, he sees himself different from the character because for him treating the sick is a meaningful task while for the character it is merely duty.

In the same vein, Reader 14 sees how the tragic event of the death of Dr. Lazaro's son has ultimately dulled his outlook towards life. "[Dr. Lazaro] pondered about certain questions such as 'What kind of God would let people suffer for a long time?' or 'What kind of God would take away a child?' and so, that actually made him who he was." Whereas other readers would evade these soul-stirring questions, Reader 14 faces these queries and expresses that the story "challenges [her] faith as a medical student." The reader then addresses this challenge by contrasting herself with Dr. Lazaro:

"For me death in the family should not be a barrier for my faith in the Lord, and as we've thoroughly discussed that it is always easier said than done, and as I have mentioned earlier it will be a challenge for me once I venture into the real world after medical school since I plan to become a missionary doctor in the near future. Nevertheless, I will do my best to stand strong in my faith ...unlike Dr. Lazaro, [who lost] the faith that was once there, no matter how painful things will be...I know I will be [strong]."

This seems to be a commonality among reader responses in this category. *Addressing these challenges of faith takes the form of self contrast to Dr. Lazaro and later as we see in the subsequent papers an affirmation of faith.* Since their own faiths are challenged by Dr. Lazaro's own loss of faith, student readers take refuge in the affirmation of their own faith. The affirmation is devoid of any didactic tendencies in that this does not appear in the form of moralizing or general discussions of religion. In contrast to the previous readers who withdraw from the text and focus on their discussions of their personal beliefs, this reader (student 4) attempts to understand the main character:

"With all the pain and suffering around him, he grew more in hatred than in love. He hated God...(how can someone with limitless power allow such things to happen...?)_for taking away his treasure, his son,... which is the main reason why he lost his faith. It's as if he [had] lost the power to ever live again..."

However, when this reader sees Dr. Lazaro up close in the literary transaction she sees it as a personal choice to hold fast to her own faith.

Instead of refusing to entertain these doubts, the student faces these questions that are brought up in the text and explains that "there are things we cannot control and that we have to accept." Although she is very pragmatic and realistic, she affirms her faith because she knows that asking questions would strengthen her spirituality.

"This text made me see a different side of things, exposed, and opened my eyes to different angles or facets, but

because of this, it has also allowed me to reaffirm my faith and my beliefs. After reading, it made my faith, not only to God but myself as well, stronger.... Some people would say that we should not question the things that God does because everything He does happens for a reason. But for me, maybe it's good that we question, not only God but ourselves as well. We question so that we would know the depth of the reason why this or that happen[s]...."

Clearly, this reader has woven the textual experience with her realizations. In fact, confronted with Dr. Lazaro's image, she reaffirms her own faith. And as she sees the practical connection of God and the individual, "His doubts in God lead [sic] him to doubt his own abilities," she affirms that questioning is not tantamount to disbelief. She realizes that questioning God, indeed, is a good exercise for her faith.

Reader 10 begins with her own paraphrases of the text by explaining the character's condition and then follows it with a rhetorical question:

"...He loses his faith towards God because of being in a tragic experienced [sic]. He loses his Love and time to his family... The question is, 'Why would God allow such terrible things to happen [to] the innocent child and the family?'

She then attempts to make sense of this question by discussing her own personal religious-moral stance:

"Basing [on] my own perspective..., God allows terrible things to happen possibly because in order for us to differentiate and learn what is right and wrong, knowing that living in this imperfect world would make you realized (*sic*) that no one's perfect except God himself."

Reader 10, contrary to the previous papers in the first category who do not see these questions in the text, raises these points and from these make sense of the "terrible things" that are happening. The explanation, admittedly, may not be agreeable to some, and apparently needs improvement but this reader acknowledges a question that the previous readers have not.

Reader 11 sees these affirmations of faith as a matter of choice. Indeed, she proposes that Dr. Lazaro has the choice even if it is a difficult one. She realizes through the character's meaningless life the choice to make life meaningful.

"While reading that part in the story, it dawned on me that in truth and in fact, life is too short. That's why every time we wake up, we have to make a personal decision to view the day as an opportunity to make every moment count—to make a difference—to be happy despite pain—to be fulfilled despite every limitations (sic) and discontent."

This is the same reader who sees the character, numbed and "calloused" and someone who exercises his profession out of duty and futility. The reader arrives at this conclusion by quoting directly from the text.

"[Dr. Lazaro] had no choice left now but action; it was the only certitude—he sometimes reminded himself—even if it would prove futile, before, the descent into nothingness."

The reader understands Dr. Lazaro's struggles, but she sees something in the story that can be beneficial and instructive: faith, after all, is a matter of choice.

"But ultimately, it's [our] decision that matters at the end of the day—it's up to [us] to hold on to God or let go. In the story, Dr. Lazaro chose to be that way and live that way."

While this reader acknowledges that in the story "something so tragic happened in the life of Dr. Lazaro; he lost his son and he wasn't even there to save him," she also realizes that "...our past confines us when we dwell on it." She sees that Dr. Lazaro has lost his faith because he dwells in the bitter past. She cites these lines from the story:

"'Now if your brother—He closed his eyes, erasing the slashed wrists, part of the future dead in the boarding-house room, the landlady whimpering, 'He was such a nice boy, doctor, your son...' Sorrow lays ambush among the years.'"

According to this reader, we are “scarring our hearts all over again” when we refused to let go. Thus in this realization the reader affirms her own views about the importance of keeping faith as she reflects on what she discovers from the text:

“But while reading the story, I realized that even if it hurts, even if there’s pain and sorrow and grief, the world will still move, and the dead people are still dead. Nobody said it’s going to be easy, but there’s so much joy and fulfillment when we learn to just suck everything up, grow up and move on.”

Lastly, she goes back to the story:

Dr. Lazaro watched the young face intent on the road...his own face before he left to study in another country, a young student full of illusions, a lifetime ago; long before the loss of faith, God turning abstract, unknowable, and everywhere it seemed to him, those senseless accidents of pain...

Through this, she observes that “there was just so much bitterness and emptiness in him. It was as if he was a living dead. It was as if he has tetanus of the soul.” When the student goes back to the baptism scene, she notices that there is a realization—not the all-too-sudden realization about how Dr. Lazaro regains his faith—but the character notices that he was “missing out” on something.

“But when he was inside Esteban’s house looking at his son baptizing the baby, he sort-of saw his darkness. While being with his son he realized a lot of things –that somehow he was already missing out—.... *he was aware of an obscure disappointment, a subtle pressure around his heart, as though he had been deprived of a certain joy...* In the story, I got reminded of how important faith is. Faith, for me, will keep us moving on. There are a lot of things in this world that would trigger us to throw in the towel and live a miserable life but I believe that faith will help us overlook every form of despair, every form of guilt, every form of pain, and sorrow, and every form of offense.”

Upon reflecting about Dr. Lazaro, understanding his reasons for his emptiness, this reader again sees the value of having faith, as something which "[keeps her] moving on." It is rather noteworthy that this realization that comes in the form of an affirmation of her faith is a product of her own transaction with the text. In fact, as she goes back again and again to the text, going to the very core of the story, there are new realizations she discovers. Her own views transform the text just as much as the text transforms her.

With reference to Rosenblatt's reading continuum and Iser's text-reader convergence, these second set of student-readers are able to fully get involved in the aesthetic experience by making realizations based on the text. By constructing the image of Dr. Lazaro as someone who has lost his faith, they do not evade these issues that challenge their beliefs; instead, they make textual references to understand Dr. Lazaro's disillusionment. They (readers 1, 2, 7, 10, 11, 14) also respond to this image by reflecting on the relevance of the story to their lives as future medical practitioners. As they place themselves in the character's shoes, they see themselves choosing to be faithful rather than falling into faithlessness. Evaluating this through Iser's (1974) aesthetic (the text) and the esthetic (reader's realization) poles and Rosenblatt's (1988) efferent-aesthetic continuum, this is an example of a reading that falls in between the stances. Here, readers negotiate their personal beliefs with what they see in the text. What happens therefore, is what Purves (1991) claims as "reflection" and "refraction," when the reader and text become mirrors to each other. In talking about their reading experience and trying to make sense of the questions that challenge their faith, these students realize that faith is a matter of choice and they reaffirm their personal beliefs without compromising their full reception of the text.

Initially, responses in the second category appear to us naïvely positive and awfully didactic, which could only have sprung from youth. Later on, we realized that all along these students were making sense of the story that might have threatened them. Indeed as Probst wisely pointed out, making meaning is a personal undertaking and this is how our students, no matter how inadequately put things together, make meaning. Although for purposes of assessment, we have to determine students' performance based on what they have written. In the analysis of

these papers, we see what Rosenblatt pointed out, that there are no “incorrect” readings only “superior” interpretations. After all, reading is a transaction.

For the responses that resisted the issues presented in the text, one common feature among them was the lack of discussion on character behavior and motivation. In fact, the students completely forgot about the text and spun off on lengthy discussion of religious and moral views. Because the character was dissimilar to them or their context, they identified with other characters in the story who were “similar” to them in terms of religious views or moral inclination. They focused on the character of the son or wife—characters that they could identify with. A couple of these respondents often forced unto the character traits that were textually absent in the character himself. Some used their personal values and gauges in reflecting on the character of Dr. Lazaro. Their own selves became lenses through which they examine Dr. Lazaro’s character and Dr. Lazaro in turn, became a foil to affirm their own faiths and justify their religious views.

Interestingly as well, student-readers in this category felt the need to save the character from his spiritual death but were unsympathetic about Dr. Lazaro’s situation. Thus they either moralized about the value of faith or of God in general. Their refusal to delve deeper into the character’s behavior and motivation actually pulled them away from the text thereby taking a detached, and we might add, a safer stance that of an authoritative voice discussing religion, moralizing, yet disengaging from the text altogether. Furthermore, students in this category of readers saw the text as a story of “redemption.” These responses revealed how much these students refuse the aesthetic experience of moving in and out of the text but instead focused on what is more comfortable for them, again, a discussion of their own faith.

On the other hand, those who immersed themselves in the literary experience confront Dr. Lazaro’s loss of faith and even sympathized with him. They understood the questions that he asked about the existence of God, and being future health-care providers they related to him. They saw themselves with reference to Dr. Lazaro, that while they may question their own faiths when faced with similar situations in and out of the hospital, unlike the main character, they would see the tragic events as ways to strengthen their faith. Since their own faiths were challenged by the character’s disbelief, they took refuge in the affirmation of

their own faiths. Unlike the first category of readers who gave a detached discussion on religion, their responses were more reflective and text-focused. They did not refuse the character his reasons for his choice. They granted him this as they understood his behavior based on what they had read in the story. Responding to the challenges the text presented, these students talked about the importance of choosing to be faithful.

Given the criterion (like/hate plus three reasons grounded on the text) students, as we see in the second category of responses, became inquisitive and reflective of their own thoughts toward the text. Here they used cues from the story to formulate tentative readings and related their religious views and moral judgment to clarify their interpretations and make meaning of the experience of reading the story. Ultimately, students who successfully went back and forth the efferent-aesthetic continuum took learning in their own hands.

Touching base with student responses in this research reveals several things. Firstly, we see how well students make use of textual cues or references in the story. They either use them well or completely disregard them. We see for instance how readers can abandon the text and opt to take the easy way out, which is to solely discuss their own views. And we have students who decide to immerse into the world of the text even though it meant looking into themselves and asking questions about their own faith. Secondly, encouraging responses to a literary text invites students to take the journey of making meaning. Whatever discussions or interpretations the students arrive at constitute a journey nonetheless. In this journey, they evaluate characters, issues, and themes in the story and relate them to their own personal lives. When they do this there follows an attendant evaluation of their own values and character, thereby making the reading of literature personal and relevant. Needless to say, this is very significant as this is the whole point of encouraging our students to read. Reading literature, thus, takes on a profound effect on students because as they grapple with making sense of the text, in the process, they make sense of their own selves.

Although this research evaluated written responses of students, the results reveal two things in the teaching of literature: the importance of (re)teaching students skills in reading textual clues and the need to listen to what students have to say. As their responses have shown, reader-response activities have the

potential to veer students away from the text especially that they appeal to the emotion. Hence, there is a need to fortify students' skills in text-based reading to let them fully understand their own responses. Although people feel that appealing to the emotions is not at all academic, personally involving oneself in the reading process is in fact an intellectual and rigorous undertaking, as shown from the reflection papers written by students who have decided to confront the main character in the story. Another point is reader-response based activities in the classroom foster a sense of involvement in students. According to Yancey (1996), students become active in the learning process when they talk about what they have learned. This is exactly what the students did in their reflection papers. Thus, a reader-response based instruction will enable students to take charge of their own learning by using reflection as a tool to understanding. Such reflection may be used not only in literature classrooms but also when they deal with various facets of information in their lives.

RECOMMENDATIONS

There are four things that this study might encourage. Firstly, in explaining in-depth students' refusal to entertain questions of faith, future researchers might look into the influence of culture on student responses, especially the concern on spirituality among college students, specifically Filipino students. As shown in the analysis of the reflection papers, students' resistance to the text stems primarily from their strong religious views. Secondly, it might be interesting to take a look at the correlation of reading proficiency and interpretations students arrive at. Specifically in relation to this study, researchers might want to evaluate reading aptitude among students. Thirdly, researchers might conduct an observation and video-record the proceedings on how reader-response discussion on a literary text works in the classroom. In this way, non-verbal responses may be accounted for. Lastly, the study can be future basis for reader-response researches in the country to improve continually literary pedagogy, the crossroad where education and literature meet.

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NOTES





VIEWING BOYKIN AND SCHOENHOFER'S NURSING AS CARING THROUGH PARSE'S CRITERIA FOR EVALUATION OF THEORIES

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BROWN (1997) EMPHASIZED that one of the recent trends in the nursing profession in most, if not all, cultures is to produce, utilize, and practice research-based nursing care. Inherent in this goal is the continued development and testing of nursing theory. In order to utilize nursing theory appropriately it is important to know how to describe, analyze, and critique (evaluate) theory. While empirical testing of theory is important, it is but one part of the evaluation of theory. Meleis (1985) states that theory evaluation provides for constructive criticism, further theory development, and helps the evaluator develop an appreciation for the process of theory development. Essentially, one main purpose of evaluation is to allow for an informed critique of theory before (and after) conducting research, and before the application of a theory in practice or educational settings. While evaluation of theory is a combination of both subjective and objective findings, it is the premise of this

paper that this objectivity can be accomplished through the use of criteria for evaluation that are acceptable to the profession yet culturally and geographically transferable. Kuhn(1977) once said that “we can delineate such criteria and that accuracy, consistency, broad scope, simplicity and fruitfulness in research are essential as objective criteria for judging competing theories.”

We should always consider that every person’s between competing theories depends on a combination of empirical and subjective factors.” The subjective factors are dependent on the evaluator’s preferences, personalities and experiences. But it is indeed undeniable that Both objective and subjective factors have a place in our understanding of the philosophy of science. While many contemporary authors and theorists in nursing claim that we do not really utilize proposed nursing theories and conceptual models, they should be evaluated. Proper evaluation can lead to informed use and testing of nursing theory. From evaluation, will emerge criteria to improve upon the ideas already proposed, as well as provide a common denominator for further theory Development. In the literature there are many criteria proposed for the evaluation of theory. There are criteria proposed by philosophers of science (Kuhn, 1977; Newton-Smith, 1981; Laudan, 1977) as well as nursing theorists.

PARSE’S CRITERIA FOR EVALUATION OF THEORIES

Parse believes in the basic premise that criteria for evaluation of theory should be broad enough to accommodate all perspectives in the discipline. The two major areas of critical appraisal in my design are structure and process (Parse, 1987).

VIEWING BOYKIN AND SCHOENHOFER’S NURSING AS CARING UTILIZING PARSE’S CRITERIA FOR EVALUATION OF THEORIES

Anne Boykin and Savina Schoenhofer’s (2001) theory of Nursing as Caring is a grand theory, intended to be used with other theories as needed. Nursing as Caring is based on seven assumptions about persons, caring, personhood, and nursing. Persons are caring by virtue of being human, are caring moment

to moment, are continually growing while also whole in the moment. Personhood is a process of living, grounded in caring, and enhanced by nurturing relationships with others. Nursing is a discipline and a profession that focuses on nurturing, living in caring, and growing in caring in the nursing situation. Again, the nursing process is not compatible with Nursing as Caring since the focus is not problem solving.

In their model for transforming practice, Boykin and Schoenhofer offer a rebirth of caring as a component of nursing. As described by the authors, the concept of caring is a personal one and difficult to define. However, the authors make a credible attempt in defining "caring" as a process, moment to moment, constantly unfolding, and manifest in all persons. (Barbara, 2002)

PARSE'S CRITERIA FOR EVALUATION OF THEORIES: ANALYSIS AND THEORETICAL UNDERPINNINGS

Historical Evolution

The study of human caring as a unique and essential characteristic of nursing practice has gradually expanded from early definitional, philosophical, and cultural research on the meanings of caring, to the explication of theoretical definitions of caring, conceptual models, proposed taxonomy of caring concepts, great deal of creative experimentation with research methodologies, and the development of several theories of caring. In general, one may say that knowledge of caring has grown in two ways, first, by extensions and, more recently, by intension. Growth by extension consists of a relatively full explanation of a small region which is then carried over into an explanation of adjoining metaphors of building a model or putting together a jigsaw puzzle (Kaplan, 1964).

In growth by extension, a partial explanation of a whole region is made more and more adequate and outlines for subsequent theory and observation are clarified. Growth by extension is associated with metaphor of gradually illuminating a darkened room. A few persons enter the room with their individual lights and are able to slowly perceive what is in the room. As more persons enter the room, it becomes more fully illuminated, and the observed reality is clarified (Kaplan, 1964).

Growth by extension is implicit in the early caring definitions, explications, and models. The knowledge about caring was built piece-by-piece, in the first ten years by study, by a few nurse scholars committed to the study of human care and caring.

Today, after fifteen years later, progress in the study of the caring phenomenon is no longer piecemeal but gradual and on a larger scale, with illumination from the works that have preceded. Growth by extension is evidenced by the development of an extant bibliography, categorization of caring conceptualizations, and the further development of human care/caring theories. Although the concept of caring has not been definitively and exhaustively explored, the understanding of the broad-scale phenomena of human care and caring has become enlarged. A review of the caring literature and analysis of research on care and caring provides researchers with an interdisciplinary guide to human caring literature and a categorization of caring: [1] human trait; [2] moral imperative; [3] an affect; [4] an interpersonal interaction; and an [5] intervention. The Boykin and Schoenhofer work, *Nursing as Caring: A model of transforming Practice*, is an excellent example of growth by intension. Utilizing previous caring research, caring theory, and personal knowledge, the authors have put forth a theory that will not only increase the content of caring knowledge but also change its form (Boykin & Schoenhofer, 2001).

Boykin and Schoenhofer have emphasized on the model's Philosophy and how it is aligned with human science.

Philosophy

- Caring is a human mode of being
- Caring is an essential feature and expression of being human

Human Science

- Nursing is a form of human science which focuses on the knowledge needed to understand the fullness of what it means to be human and on the methods to verify this knowledge

Heidegger (1962) also spoke of human beings connected with one another and the world, intimately involved in their being-in-the-world concerned with their worldly nature, as care (*Sorge*). Thus, one cares to the extent that one cares about one's capacity 'to be'; is concerned with what one 'can be' and with the 'I who is' in union with 'for-the-sake-of-whom'. Gaylin (1976) believes that an

impulse for caring is biologically programmed in human nature 'caring and loving we are, and caring and loving we must be; we care because it is our nature to care, we survive because we care and are cared for; we are 'touched' by signs of caring and 'hurt' by signs of indifference. In speaking of caring Mayeroff (1990 [1971]) gave voice to what he perceived to be essential components of caring and to his belief that one experiences what is cared for as having a dignity and worth in its own right with potentialities and need for growth. Caring both evolves from and invokes commitment arising from within a deep source and dimension of our humanity.

NURSING AS CARING: HISTORICAL PERSPECTIVE AND CURRENT DEVELOPMENT

The theory of nursing as caring developed as an outgrowth of the curriculum development work in the College of Nursing at Florida Atlantic University, where both authors were among the faculty group revising the caring-based curriculum. When the revised curriculum was in place, each of us recognized the potential and even the necessity of continuing to develop and structure ideas and themes toward a comprehensive expression of the meaning and purpose of nursing as a discipline and a profession. The point of departure was the acceptance that caring is the end, rather than the means, of nursing, and that caring is the intention of nursing rather than merely its instrument. This work led to the statement of focus of nursing as "nurturing persons living caring and growing in caring." Further work to identify foundational assumptions about nursing clarified the idea of the nursing situation, a shared lived experience in which the caring between enhances personhood, with personhood understood as living grounded in caring. The clarified focus and the idea of the nursing situation are the key themes that draw forth the meaning of the assumptions underlying the theory and permit the practical understanding of nursing as both a discipline and a profession. As critique of the theory and study of nursing situations progressed, the notion of nursing being primarily concerned with health was seen as limiting, and we now understand nursing to be concerned with human living.

Three bodies of work significantly influenced the initial development of nursing as caring. Roach's basic thesis that caring

is the human mode of being was incorporated into the most basic assumption of the theory. We view Paterson and Zderad's existential phenomenological theory of humanistic nursing as the historical antecedent of nursing as caring. Seminal ideas such as "the between," "call for nursing," "nursing response," and "personhood" served as 338 SECTION III Nursing Theory in Nursing Practice, Education, Research, and Administration substantive and structural bases for our conceptualization of nursing as caring. Mayeroff's (1971) work, *On Caring*, provided a language that facilitated the recognition and description of the practical meaning of caring in nursing situations. In addition to the work of these thinkers, both authors are long-standing members of the community of nursing scholars whose study focuses on caring and who are supported and undoubtedly influenced in many subtle ways by the members of this community and their work. Fledgling forms of the theory of nursing as caring were first published in 1990 and 1991, with the first complete exposition of the theory presented at a theory conference in 1992 (Boykin & Schoenhofer, 1990, 1991; Schoenhofer & Boykin, 1993), followed by the work, *Nursing As Caring: A Model for Transforming Practice*, published in 1993 (Boykin & Schoenhofer, 1993) and re-released with an epilogue in 2001 (Boykin & Schoenhofer, 2001). Research and development efforts at the time of this writing are concentrated on expanding the language of caring by uncovering personal ways of living caring in everyday life (Schoenhofer, Bingham, & Hutchins, 1998), reconceptualizing nursing outcomes as "value experienced in nursing situations" (Boykin & Schoenhofer, 1997; Schoenhofer & Boykin, 1998a, 1998b), and in consultation with graduate students, nursing faculties, and healthcare agencies who are using aspects of the theory to ground research, teaching, and practice.

Foundational Elements

The most basic premise of the theory is that all humans are caring persons, that to be human is to be called to live one's innate caring nature. Developing the full potential of expressing caring is an ideal and for practical purposes, is a lifelong process (Boykin & Schoenhofer, 1993).

The theory of Nursing As Caring is a general or grand nursing theory that can be used as a framework to guide nursing practice.

The theory is grounded in several key assumptions:

1. persons are caring by virtue of their humanness;
2. persons live their caring moment to moment;
3. persons are whole or complete in the moment;
4. personhood is living life grounded in caring;
5. personhood is enhanced through participating in nurturing relationships with caring others; and
6. nursing is both a discipline and a profession (Boykin & Schoenhofer, 2001, p.11).

The key concepts of the theory can be very much operationalized (put into action, studied, recognized, described and measured):

1. Caring in Nursing: The intentional and authentic presence of the nurse with another is recognized as person living in caring and growing in caring. At the 6th basic assumption listed, it states that nursing is both a discipline and a profession. This assumption supports and validates how a nurse approaches professional caring practice, that is, from an informed stance grounded in disciplinary knowledge. This clearly distinguishes "lay" caring from professional nurse caring.

2. Authentic Presence: This may be understood as one's intentionally being there with another in the fullness of one's personhood.

3. Person as Whole and Complete in the Moment: Person as caring centers on valuing and celebrating human wholeness, that is, the human person as living caring and growing in caring; valuing and respecting each person's beauty, worth and uniqueness. The person is at all times whole. To encounter a person as less than whole fails to encounter person.

4. Personhood is Living Grounded in Caring: Personhood implies living out who we are as caring persons. Personhood implies living the meaning of one's life. Personhood implies demonstrating congruence between beliefs and behavior.

Process Criteria: Correspondence Semantic Integrity and Simplicity

The meanings of the terms that appear in the assumptions, the concepts, and the principles are consistent. Clarity prevails in the descriptions of the assumptions, concepts, and principles.

Consistent levels of discourse are evident within and among the assumptions, concepts, and principles. The meanings of words consistent throughout the description of the theory.

Clarity: While the use of “caring” as a way of being is described in a way that makes sense, the level of individual interpretation makes the concepts less clear.

Simplicity: The Theory is streamlined in this direction; living through caring is at the center, and the other concepts directly relate to and further define its meaning. Less attention to detail, and more focus on the main idea add to the theory’s simplicity.

Generality: Altruistic caring and intentional presence are broad themes that are well defined and relate to any given situation because of the inherent flexibility of the concepts.

Accessibility: The simple language is familiar and the concepts are easy to follow and are interpreted by the individual based on his or her own context, making highly accessible.

Importance: While there are less specific examples of this theory’s use compared to Watson and Leininger, the generality and accessibility make this theory useful in nursing education as well as framework critique of nursing practice (Frawns, Nora, Taya, & McClure, 2013).

The concept of Nursing being primarily concerned with health is limited. It is more accurate to say that nursing is concerned with human living.

This theory aims to develop the language of caring through examining the ways of living caring in everyday life, re-conceptualizing nursing outcomes as “value experienced in nursing situations”, and encouraging use of theory to ground research, teaching and practice (Frawns, Nora, Taya, & McClure, 2013).

Syntax and Aesthetics

There is a logical flow from the philosophical assumptions to major concepts to principles. The foundational elements are presented precisely at the same level of discourse. The relational statements are presented precisely at the same level of discourse. The theory is structured symmetrically.

In a book entitled *Caring in Nursing Classics* by Smith, Turkel and Wolf (2013), Boykin and Schoenhofer discussed related literature framed by five questions as follows: [1] *ontological*

("being" of caring), [2] *anthropological* (what it means to be a caring person), [3] *ontical* (function and ethic), [4] *epistemological* (the ways caring is known [personal knowing, empirical knowing, ethical knowing, and esthetic knowing]), and [5] *pedagogical* (teaching and learning).

The authors systematically considered the five questions. First, the ontological questions addressed the being of caring examined by nurses as well as the scholars of other disciplines.

As a human mode of being, the ability to care is inseparable from that of being human. Person-to-person caring involves seeing the value of each person as important in itself. Persons are affected in caring and respond to caring affectively. They are both whole and holy. In this way and consistent with Roach (1987), body-mind-spirit are joined. Boykin and Schoenhofer (1990) also cited Watson (1985) who proposed that caring is an intersubjective human process in which interpersonal human care transactions occur. Individuals are authentically present and unique, together in caring.

The call and the response involves the risk of being with another, connecting in moments of joy (Parse, 1981). Mayeroff (1971) saw caring as a process, an end in itself and not a product. Several scholars' views correspond with Boykin and Schoenhofer's (1990) analysis. Common elements consist of the importance of the authentic presence and connectedness of the persons in the caring situation. Caring is conceptualized as a mutual human process in which the nurse responds with authentic presence to a call from another. Caring is the center and integral to nursing.

Boykin and Schoenhofer find that, too often, nurse theorists have employed deductive methods in theory building while borrowing concepts from other scientific disciplines. The results of these endeavors have led educators and practitioners toward trends that address nursing in terms of what nurses do. Nursing science from a caring perspective is a human science and, as such, may require newer and different ways of defining nursing. *Phenomenology offers a method of inquiry that best suits nursing as a caring discipline.* They believe that a quantitative approach is appropriate to the study of nursing phenomena. Inductive theory formation begins with the nursing experience and develops concepts from the analysis of that experience. The potential of extant nursing practice as a source of ideas for theory to describe, predict, and prescribe nursing care is as unique as the lived

experience of nursing.

Pragmatics / Effectiveness

The focus of nursing in the light of the theory:

1. The focus of nursing is nurturing persons living caring and growing in caring.
2. The nursing situation is the shared, lived experience in which the caring between nurse and nursed enhances personhood.
3. It is in the nursing situation that *the nurse attends to calls for caring, creating caring responses that nurture personhood.*
4. A *call for nursing* is a call from the one nursed, perceived in the mind of the nurse. This call for acknowledgement and affirmation of the person living caring in specific ways in the immediate situation.
5. Calls for the nurturance that is Nursing are personal expressions that communicate in some way—"know me as caring person and affirm me."
6. In the nursing situation, the nurse enters into the world of the other with the intention of knowing, affirming, supporting, and celebrating other as caring person. *Direct invitation* is integral to this.
7. *Nurses should offer the direct invitation* as part of their coming to know other. The direct invitation raises awareness of nurse and nursed that nursing *is* the service that nursing offers.
8. The direct invitation *opens the door to explicit* "caring between."

Instead of asking "What can I do for you?," turn the focus away from yourself to the one you are nursing.

Ask, in your own words, sincerely desiring to know: *What matters to you most, right now?* This is a very powerful question—wait for the answer in stillness, with patience. The one being nursed will respond to the invitation in many different ways with unique calls for nursing that arise from what matters.

The nurse responds to these calls for nursing with *specific caring responses* to sustain and enhance the other as caring person.

This *caring nurturance* is what we call the nursing response.

Presence develops as the nurse is willing to risk entering the world of the other, and as the other invites the nurse into a *special, intimate space*.

The encountering of the nurse and the nursed gives rise to the phenomenon of *caring between*, within which personhood is nurtured.

The nurse as caring person is fully present and gives the other time and space to grow. Through *presence* and *intentionality*, the nurse is able to know the other in his or her living caring and growing in caring.

This *full engagement* within the nursing situation allows the nurse to *truly experience* nursing as caring, and to *share* that experience with the one nursed.

This is the caring between, the shared relation within which nursing is created and experienced.

APPLICATION: NURSING AS CARING IN NURSING PRACTICE

The commitment of the nurse practicing nursing as caring is to nurture persons living caring and growing in caring. This implies that the nurse comes to know the other as a caring person in the moment. "Difficult to care" situations are those that demonstrate the extent of knowledge and commitment needed to nurse effectively. An everyday understanding of the meaning of caring is obviously challenged when the nurse is presented with someone for whom it is difficult to care. In these extreme (though not unusual) situations, a task-oriented, non discipline-based concept of nursing may be adequate to assure the completion of certain treatment and surveillance techniques. Still, in our eyes, that is an insufficient response—it certainly is not the nursing we advocate. The theory of nursing as caring calls upon the nurse to reach deep within a well-developed knowledge base that has been structured using all available patterns of knowing, grounded in the obligations and intentionality inherent in the commitment to know persons as caring. These patterns of knowing may develop knowledge as intuition; scientifically quantifiable data emerging from research; and related knowledge from a variety of disciplines, ethical beliefs, and many other types of knowing. All knowledge held by the nurse that may be relevant to understanding the situation at hand is drawn forward and integrated as understanding that guides practice in particular nursing situations (aesthetic knowing). Although the degree

of challenge presented from situation to situation varies, the commitment to know self and other as caring persons is steadfast. The nursing as caring theory, grounded in the assumption that all persons are caring, has as its focus a general call to nurture persons in their unique ways of living caring and growing as caring persons. The challenge for nursing, then, is not to discover what is missing, weakened, or needed in another, but to come to know the other as caring person and to nurture that person in situation specific, creative ways and to acknowledge, support, and celebrate the caring that is. We no longer understand nursing as a "process" in the sense of a complex sequence of predictable acts resulting in some predetermined desirable end product.

REFLECTION

Heuristic Potential

Boykin and Schoenhofer's Nursing as caring: A model for transforming practice is indeed a living proof of intense dedication and commitment that radiates to all nurses and the ones they care for. Anyone who reads it will be convinced that this model encompasses a deeper meaning that resonates towards a larger scope, even way beyond nursing itself.

I chose this model because I fell in love with it the moment it was presented by my professor. I can honestly say that this model has become a backbone to a lot of researches and studies that have become instrumental in the evolution of the nursing profession. Nursing as caring may sound simple but one can be overwhelmed by what's beyond the tip of the iceberg.

Inquiries that may arise from research findings of studies guided by the model are evidences of life and a never ending investigation of what is known and "unknown."

Some have acclaimed that the model is too broad and application to practice may be hard since concepts are not tangible, but I personally believe that the model cannot be appreciated to its full potential in a single glance.

This paper has allowed me to read and understand primary and secondary sources which allowed me to view opinions and facts in different lenses. Countless hours of browsing the net and flipping through pages of books have widened my horizon as a

nurse... and more importantly as a person.

The voluminous number of researches and studies that have utilized the model supports how this model can really help us nurses see a the phenomenon of Caring, specifically Caring in Nursing ... Nursing as Caring, after all this is the real essence of what nurses should be made of! We are here to care. Without it, can we be called nurses in the real sense of the word?

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THE COLLAPSE OF DONKEY'S EAR ABALONE (*Haliotis asinina*) FISHERY IN SIQUIJOR, PHILIPPINES

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The research briefly describes the localized abalone (*Haliotis asinina*) fishery in Siquijor Island, central Philippines and discussed the possible reasons of the sudden collapse in local trade and fishery. The lack of management system may have contributed to over-exploitation of abalone leading to closure in 2012. Prior to the collapse in 2012, abalone gatherers spent an average of 4.18 ± 0.15 hours/day/site with catch-per-unit-effort (CPUE) of *H. asinina* ranged from 0.1 to 0.6 kg/person/hr with mean value of 0.25 ± 0.03 (SE) kg/person/hr. Recommendations to revive and sustain the abalone fishery of Siquijor Island are also provided.

KEYWORDS: abalone, fishery, overharvesting, Siquijor

INTRODUCTION

RECENT TRENDS IN abalone fisheries around the world have shown increasing but then falling as abalone stocks were overfished (Cook & Gordon, 2010). Illegal exploitation of abalone has contributed to population crashes and often to the complete decommercialization of abalone fishing industries (e.g. Karpov et al. 2000; Gordon & Cook, 2004; Cook & Gordon, 2010).

The abalone industry in the Philippines, which solely depends on harvesting natural stocks (mainly of the Donkey's Ear Abalone *Haliotis asinina*, Figure 1), began in 1971 with volume and total export values reaching more than 400 tonnes and US\$ 5 million in 1997, respectively (Maliao et al. 2004). Although mariculture techniques have been developed (Capinpin, 2012) based on the biology of abalones (Fermin et al. 2000; Capinpin, 2012; Capinpin & Hosoya, 1995; Capinpin et al. 1998, 1999), the bulk of the supply is derived from natural stocks.



FIGURE 1. Donkey's Ear Abalone (*Haliotis asinina*), a heavily exploited gastropod in Siquijor.

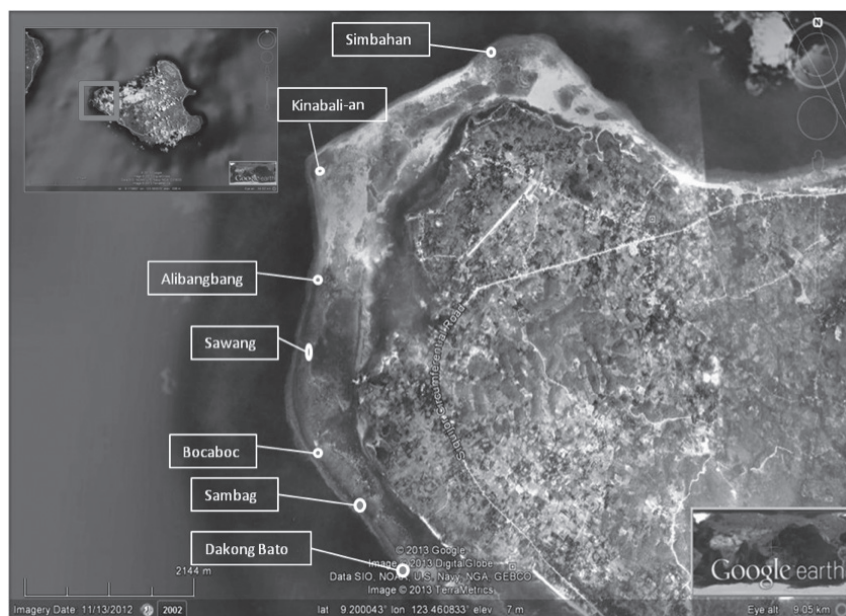


FIGURE 2. Map of Siquijor Island showing the location of the abalone collecting sites (Source: GoogleEarth, 2013).

In Siquijor, intensive harvesting of abalone probably began in early 1990s, which was originally done by overturning rocks and massive coral colonies and searching in rock crevices and holes, with the aid of hooked iron wire called *ganso* (pers. obs.), such harvesting practices are sometimes destructive to the coral reef (Maliao et al. 2004).

Because of the lack of detailed documentation of the abalone fishery in Siquijor, we present this paper with the primary aim to provide insights on the collapse of trade and fishery.

METHODS

We conducted several informal interviews with local abalone gatherers in western Siquijor Island (Figure 2) covering the barangays of Tambisan ($9^{\circ}11'10.16''\text{N}$, $123^{\circ}27'14.01''\text{E}$), municipality of San Juan to the north of Cang-alwang ($9^{\circ}13'32.13''\text{N}$, $123^{\circ}27'55.81''\text{E}$), municipality of Siquijor, and a local buyer in Solangon, San Juan, Siquijor where all abalones from the entire province were landed. Abalones were mainly gathered

in coral reef areas of about 175 ha from Paliton to Cang-alwang, with identified sites as shown in Figure 2. Local gathering and processing techniques used by the locals were also observed and described.

Catch per unit effort (kg/hr/person) of abalone prior to closure in 2012 was computed and compared with published CPUE in the early 2000 as published by Bendijo et al. (2004).

Informal interviews with local gatherers were also conducted by the junior author and his local field assistant to elucidate the possible cause of the collapse of this local but important fishery. This would also reveal some traditional ecological knowledge (TEK) that might help the local government units (LGUs) of Siquijor to implement management measures and potentially re-establish this local fishery (see Capinpin, 2012).

RESULTS AND DISCUSSION

Harvesting Techniques

There are three main gathering techniques used by the locals. The first technique is by over-turning rocks and massive coral colonies (*pangukab*) with the use of either bare hands or with the aid of hooked iron hook (*ganso*) which appears the most destructive. In some occasions, massive coral colonies (e.g., *Porites*) called *manonggol* or *binagong* with diameter of about 2 meters were destroyed into 2-3 parts. When the abalone is spotted right after over-turning the rocks, a smaller *ganso* made out of wire is used to detach the foot of the abalone from the rock surface.

Another technique is by feeling (*pangoot*) abalones with just bare hands in holes and crevices in rocks and ledges. This technique is potentially dangerous to the gatherer. In several instances, the junior author who was once a gatherer himself from 1995-1999 had observed gatherers with fingers bitten by large morays (*Gymnothorax spp.*) and conger eels (*Conger cinereus*), he also experienced having been inflicted by venomous fishes like scorpionfishes and lionfishes (*Scorpaenidae*) and catfish (*Plotosus lineatus*). In most cases, the first two techniques were implemented as one but ability may differ from person to another.

The third technique which appears more convenient is by searching at night time near holes and ledges with the use of

improvised underwater flashlights (12 Volts with halogen bulbs). However, this method allows the gatherers to exploit the abalone. In fact, prior to the collapse in 2012, this harvesting technique was rampant throughout the island of Siquijor. Each gatherer had an average duration of 2 hours each trip but may operate twice (after dusk 6:30—11:00 PM and early dawn 4:00—6:00 AM).

Experienced gatherers developed certain techniques in locating possible crevices or holes occupied by abalones. One of which is to identify features of abalone's foraging range such as foraged turf algae with some excreta in the vicinity (about 10 cm wide from the opening). It is also of interest to note that gatherers observed that the Striped Catfish (*Plotosus lineatus*) preyed on juvenile *Haliotis asinina*. This observation has certain implications. For example, Nañola et al. (2010) suggested that the catfish *P. lineatus* could serve as an indicator of a heavily fished coral reef. If this fish preys on juvenile abalones, then abalones might be subjected to both direct impacts from overharvesting and indirect effect by increased predation. In addition, the practice of over-turning rocks and boulders might further expose juvenile abalones to other predators such as wrasses (e.g. *Thalassoma* and *Halichoeres* species).

One of the abalone gatherers called the attention of the junior author of the presence of *H. asinina* in wave-curved edges of seagrass beds (mainly *Thalassia hemprichii*). At least 5 individuals were collected in just 3 patches of seagrass beds. These abalones appear whitish but the rest of the features indicate that they belong to the same species. They probably took shelter underneath seagrass rhizomes during southwest monsoon as the shallow reef flats are exposed to heavy wave action brought about by the monsoon and storms.

Catch-per-unit-effort (CPUE)

Prior to the collapse in 2012, abalone gatherers spent an average of 4.18 ± 0.15 hours/day/site and catch-per-unit-effort (CPUE) of *H. asinina* ranged from 0.1 to 0.6 kg/person/hr with mean value of 0.25 ± 0.03 (SE) kg/person/hr. An overall estimate on annual catch maybe best estimated based on observations made by our field assistant (Noe Bucol, one of the abalone gatherers) in the only landing site of the entire island (Solangon, San Juan). The usual weight of abalone bought by a local buyer on a daily basis was about 2 ice boxes (each contained about 45 kg) during the first two

weeks of the southwest monsoon (*habagat*) when extensive algal beds of *Sargassum* and *Padina* are removed thereby increasing the detectability of abalones at night time. This was then followed by a gradual decline to at least 1 box per day throughout the rest of the year. Using above figures, it is probably safe to extrapolate that an annual catch would be around 8,550 kg (~8.55 metric tons/year). Given the prevailing price of Php 400.00/kg, an annual income Php 3.42 M is estimated. Throughout the island there were about 47 regular gatherers (from 2010-2012) distributed in the following harvesting sites: Tambisan (7 persons), Cang-alwang (10), Cang-asagan (10), Maria (10), and Lazi (10).

Bendijo et al. (2004) reported roughly 1.0 kg/person and an estimated annual catch of 1.0 metric tons based on about 100 gatherers.

Abalone Processing

In the early 1990s until 2000, gatherers directly deliver live abalones and injured individuals were either priced off 50% or considered rejects. This means that processing of abalones was done by the buyer to ensure quality. However, beginning in 2001 until 2012, gatherers were allowed to process abalones by themselves. Certain modifications of the usual process of boiling abalones were developed by the gatherers. For example, before subjecting the abalone to boiling, fragments of tobacco (from cigarette) were used to gradually kill the abalone, thereby avoiding contraction of the abalone's foot. In 2012, certain gatherers cheated by injecting seawater in boiled abalones to gain more weight. These were probably rejected by buyers in Cebu City, which then caused huge deficit for the local buyer. It is possible that this was due to dwindling wild population of the abalone *Haliotis asinina*, which caused gatherers to adopt desperate ways to achieve targeted catch. On the other hand, it may also be viewed as a simple cheating problem. Nevertheless, both cases are possible manifestations of overexploitation due to lack of a management system leading to the collapse of the abalone fishery.

CONCLUSIONS AND RECOMMENDATIONS

In this study, we described a case history of the failed abalone

fishery in Siquijor Island. However, the lack of regulation and management system led the closure in 2012.

We recommend that a stock assessment be conducted to determine whether or not the wild stock population of *Haliotis asinina* is at present suitable for exploitation. In addition, certain local ordinances regulating the harvesting of abalone be enacted and implemented. Existing marine reserves should be well-protected because these have been proven to enhance wild populations of *H. asinina* (Maliao et al. 2004). Although there are at least 16 marine reserves around Siquijor, these were declared for conservation of corals and reef fishes. It is important to consider protecting portions of the site where abalone gatherers collect abalones because it is most likely that these are possible sites for larval settlement (see Capinpin, 2012).

ACKNOWLEDGMENTS

We thank the following institutions and individuals who supported our study on selected artisanal fisheries in Siquijor. The United Board for Christian Higher Education in Asia (UBCHEA) supported the first author's scholarship. The Tambisan Fisherfolk Association (TFS), especially to its founding President Mr. Noe M. Bucol assisted us in conducting interviews with abalone gatherers.

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NEW DISTRIBUTIONAL RECORDS OF SIX SPECIES OF BUTTERFLIES IN THE PHILIPPINES

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Leptosia nina terentia.

Philippine distribution: Basilan, Bohol, Calamian, Cebu, Cuyo, Dinagat, Mindoro, Mindanao, Palawan, Panay, Samar, Sarangani (Treadaway and Schroeder 2012).

New distributional record: Negros.

Catochrysops strabo luzonensis.

Philippine distribution: Balabac, Basilan, Bohol, Cebu, Camiguin de Mindanao, Dinagat, Dumaran, Jolo, Leyte, Luzon, Masbate, Mindoro, Mindanao, Palawan, Panay, Samar, Sarangani, Sibuyan (Treadaway and Schroeder 2012).

New distributional record: Negros.

Chilades mindora.

Philippine distribution: Bongao, Calamian, Cebu, Camiguin de Luzon, Homonhon, Leyte, Luzon, Marinduque, Masbate,

Mindoro, Mindanao, Palawan, Samar, Sanga Sanga, Tawitawi, Ticao (Treadaway and Schroeder 2012).

New distributional record: Negros.

Miletus drucei drucei.

Philippine distribution: Balabac, Bohol, Calamian, Cebu, Leyte, Luzon, Mindoro, Palawan, Panay, Samar (Treadaway and Schroeder 2012).

New distributional record: Negros.

Zizula hylax pygmaea.

Philippine distribution: Cebu, Leyte, Luzon, Marinduque, Palawan, Sibutu, Tawitawi (Treadaway and Schroeder 2012).

New distributional record: Negros

Freyeria putli gnoma.

Philippine distribution: Cebu, Luzon (Treadaway and Schroeder 2012).

New distributional record: Negros

IT IS IMPORTANT to document new distributional records of butterfly species to understand their movement or migration. These species might have migrated from neighboring islands, especially the islands of Cebu and Panay.

There is also a possibility that they were transported via typhoons from Cebu Island, since the path of most typhoons comes from the southeast moving towards the northwest side of the country. As per Treadaway, it is likely that new records of butterfly species will be expected to be found in islands neighboring those of their present range. *Leptosia nina terentia* and *Miletus drucei drucei* were also verified its occurrence in Negros by C.G. Treadaway (pers. comm.).

Leptosia nina terentia. This species is common and abundant in Negros Oriental.

Catochrysops strabo luzonensis. This species was recorded in the upland areas of Bacong, Negros Oriental.

Chilades mindora. This species was recorded in Dumaguete and Dauin, Negros Oriental. It appears to be abundant and individuals tend to aggregate.

Miletus drucei drucei. This species was recorded near the coastal

areas of Dauin, Negros Oriental.

Zizula hylax pygmaea. This species can be found in forested areas but is most abundant in crop plantations and in lowland areas of Negros Oriental.

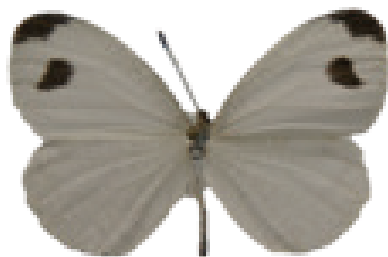
Freyeria putli gnoma. This species was recorded in lowland areas of Dauin, Negros Oriental.

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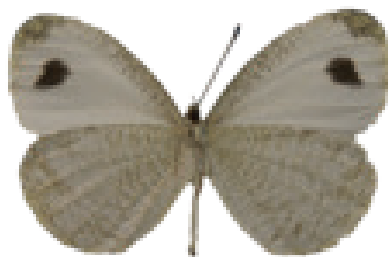
I would like to thank Dr. Thomas C. Emmel, Director of the McGuire Center for Lepidoptera and Biodiversity, for providing the fund during my fieldwork in Negros Oriental, Philippines. Colin G. Treadaway of Senckenberg Museum in Frankfurt am Main, Germany for the information on the butterfly species distribution in the Philippines and also for reviewing this paper. The province of Negros Oriental, Silliman University, the field assistants and fieldguides during the fieldwork, and the DENR Philippines for providing permits and assistance during the course of the study.

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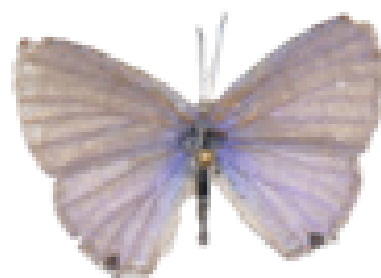
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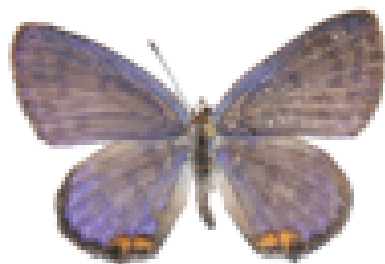
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Figure 1: upd.; Figure 2: und. *Leptosia nina terentia*; Figure 3: upd.;
Figure 4: und. *Catochrysops strabo luzonensis* (♂). Figure 5: upd.;
Figure 6: und. *Chilades mindora*



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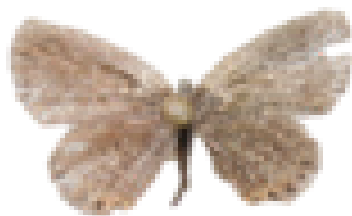
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Figure 7: upd.; Figure 8: und. *Miletus drucei drucei* (♀). Figure 9: upd.;
Figure 10: und. *Zizula hylax pygmaea*. Figure 11: upd.;
Figure 12: und. *Freyeria putli gnoma*.



REVIEWS







FISHES OF LIGHT:
TANRENGA IN TWO
TONGUES / PECES DE
LUZ: TANRENGAS EN
DOS IDIOMAS

Marjorie Evasco
and Alex Fleites

Manila: University of Santo Tomas Press,
2013, 193 pages



A CLOSE READING OF FIVE POEMS
FROM FISHES OF LIGHT

Review by Roberto Klemente Timonera

IN *FISHES OF Light: Tanrenga in two tongues / Peces de Luz: Tanrengas en dos idiomas*—the bilingual collection of collaborative poems by award-winning writers Marjorie Evasco and Alex Fleites—the internal and external worlds are woven together by a thread of luminous verses. The poems here are crystallized mo(ve)ments in the poets' gaze, intensely concentrated instants where all things shine, however briefly, in their truest forms—much like how the scales of the fish glint when struck by the sun at certain angles.

The book opens accordion-style and is bound in sleek black. It comes with a free bookmark containing one of the tanrenga,

tasseled by a jade fish and three amber-colored beads. The jacket is white, featuring only the title and the authors' names, separated by a swish of silver. Along the bottom of the pages runs a stream of fish that are painted so minimalistically they at first appear to be brushstrokes. This seems to reflect the poets' project here: to give the merest blink of a moment while capturing all its complexities.

This essay will attempt a close reading of five poems from *Fishes of Light*. The reader will only address the English versions.

First, some notes on form. According to the online poetry magazine *Graceguts*, the tan-renga "is a short collaborative poem for two poets, consisting of a three-line haiku followed by a two-line response or 'capping verse.'...The two-line capping verse responds to or turns on the three-line starting verse, thus making a new whole... A key technique is to link and shift with each response verse, adding something at a right-angle to the preceding verse, yet still connected, whether emotionally, tonally, or in some other creative way." The traditional Japanese tan-renga has a syllable count of 5-7-5-7-7, but its English counterpart often does not follow this, owing to the vastly different syllabic natures of the two languages. In *Fishes of Light* this seems to be the case, especially since the poems were begun in one language, translated, finished in another, and translated again. It is difficult to identify whether a verse comes from Evasco or Fleites (except when there are specific place names or pronouns are used, and even then one cannot be sure), but Evasco herself says: "At first each knew which specific parts came from what shore. At this point, though, it does not matter. What does matter is the small universe created in each tanka as though it were seamless."

We begin, then, with the first poem:

The spider traces a hieroglyph
on the windowpane
pierced by slivers of a sun.

Earlier at daybreak
a dewdrop-world hung by a thread.

Since the poem is written in third person, it is difficult to tell if the actual speaker has any involvement with the scene, but it may be assumed that s/he is an observer. The first line defamiliarizes the spider's act of web-weaving. It also hints at the secret wisdom of

animals. “Hieroglyph” suggests that the spider knows some form of language.” “Traces” is a loaded word; while literally it means the spider is drawing a hieroglyph, it also implies that the spider is copying from a blueprint, or else that it is only giving an outline of the symbol. That the spider does this “on the windowpane” is potentially meaningful, since windows are the boundary and aperture between two sides. “Pierced” imbues with violence light’s act of touching things. While the verb implies some wound is made, no damage is actually done. The poets’ choice to use the article “a” in the third line further shakes the foundations of our knowing: are these slivers from only one sun among many? And in the final line, the image reflected in the dewdrop becomes a world of its own. This shift in proportions gives the sense that there are entire universes that go on beyond our knowledge, and often in the same space as ours.

This questioning of the fundamental nature of things goes on in the fourth poem:

Worth their weight in gold,
Guimaras island mangoes
ripen in summer sun.

Is the sun a mango of light?
Is the mango a sun for the lips?

Guimaras mangoes, of course, are among the sweetest on earth. The first three lines introduce the main images of the poem: sun and mango. While no sensory details are mentioned explicitly, the phrase “ripen in summer sun” is rife with sensuous pleasure. These set up the essential elements in the poem, as well as provide a sense of throbbing richness that makes for a smooth transition to the concluding lines, which pull the rug from under the reader’s feet: they make the bold statement that—to a paraphrase a comment by Danilo Francisco Reyes during the 53rd Silliman University National Writers Workshop—the stuff of the mundane is no different from the stuff of the cosmos. While the final line achieves the same end as the preceding line, it is not superfluous at all and in fact aids in tightening the poem.

The fifth poem is this reader’s personal favorite in the entire collection:

Children's voices in the neighbor's house
blend like the sound
of water and wind in the garden.

 Their cries rain on closed windows;
 their laughter beats on locked doors.

Unlike the previous poems, which offer a cerebral reckoning of natural phenomena, this poem has a more pronounced emotional component.

On the literal level all we have is the voices of children seeping from one household to another. While there is no explicit mention of the word "I," it is clear that the speaker is very much present in the scene. Even in the first line, there is already a sense of distance; there must be a reason why this scene is taking place in the neighbor's house and not the speaker's own. The second and third lines give a peek at what kind of person the speaker is; the children, who have led interesting and singular lives, are here reduced to elemental background noise, much like "water and wind;" while this implies that their sounds have a nourishing effect on the speaker, it also implies that, in larger quantities, these can become destructive.

The next line picks up from this train of thought. There is irony here because, while "cries" is a happy image, it is obvious that the speaker is actively resisting it. "Closed windows" works well on the literal level, but on the metaphorical level it could imply a self-imposed isolation on the speaker's part. Also, from the way they are referenced in the poem, the windows could be the speaker's "shelter" from the sound. The final line does the same trick. The children's laughter is innocent, but the speaker sees it as a violent and even hostile force as it "beats" on "locked doors" that may well be the speaker's own figurative barriers. By understating everything, the speaker subtly reveals his/her feelings of longing and frustration. From these strands we may weave a painful backstory for the persona, similar to the famous one-sentence story commonly attributed to Hemingway: "For sale: baby shoes, never worn."

The sixth poem paints a tender vignette about mother and child:

I sail the blue
through my mother's eyes.
If she falls asleep, I can't return.

She is everywhere,
alive in me, as the sea.

The enjambed first line creates an immediacy in perception: we are thrust directly into “the blue,” presumably the sea. In the next line we find out the speaker is only seeing this “through [his/her] mother’s eyes.” This could mean that the mother’s eyes are literally blue, but if we are to insist on a dramatic situation, then it could be that the speaker is listening to his/her mother’s stories about the sea. The third line could suggest that the mother is getting old; otherwise, the speaker could be a child, and thus must rely on his/her mother’s stories to get a vivid picture. Either way, it gives an idea about the dynamics between mother and son/daughter.

The fourth line is comparable to a phrase in Singaporean poet Alvin Pang’s “Reflections: An imaginary father to an imaginary son”: “Even when I am gone / or am forgotten, nothing / you see will be without me.” The final line resonates with the insight that parents live on in their children. While the speaker could be a child beaming with wonder at the world, listening to her mother reading fairytales, the line will be more poignant if we choose to deal an older speaker. If so, it could imply that the mother is dying, and the speaker is keeping her company during her weakest moments. Furthermore, the closing line may be read in two ways: “she is as alive in me as the sea,” or “she is alive as the sea, in me.” The former will support the reading with the younger speaker, while the latter lends itself to the second, darker reading. It is beside the point to provide a definitive answer, as one must always respect the multiplicity of meanings that inheres in a text—the presence of this is always to a work’s credit.

Considering Evasco’s Buddhist leanings, it is not impossible that she began the book’s ninth poem:

Raindrops beating on the lotus
wash with music
all the mud down.

In the early evening breeze
the lotus dances.

The lotus is usually a symbol of purity. That said, the speaker

here could be projecting his/her state of mind onto the lotus. The rain, while certainly literal, could also suggest that something is threatening the speaker's resistance and/or virtue.

The second and third lines reveal an equanimity and grace in the persona's way of dealing with trials and correction: the rain does not only wash, but washes "with music." When the poem says "all the mud down," we visualize the slow but sure cleansing of all stains. In the "early evening breeze" of the last two lines—where we can assume that a certain amount of time has passed, since it is difficult to make such close observations at night—we witness the triumph of the lotus and all it represents as it revels in its renewed purity, and perhaps the speaker in his/her own, too.

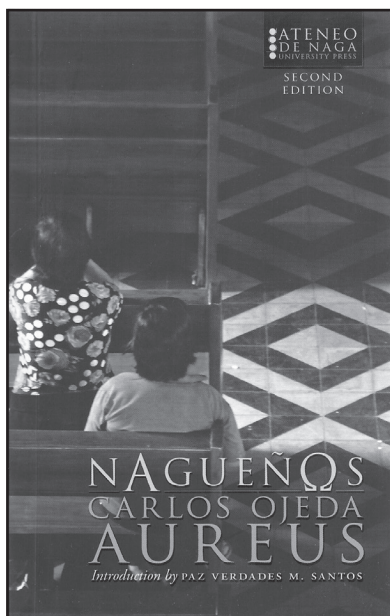
This reader has opted to choose only from the first ten poems in the book because he finds in them more avenues for critical analysis. The second half is, of course, equally rich, but has a different approach to the theme.

At this point it must also be noted that, aside from its first-rate textual content, the book also features stunning calligraphic art by Kristian Jeff Agustin. Every aspect of its physical design enhances the reading experience; the pages are clean and firm, and the calligraphy goes extremely well with—and perhaps adds to—the elegance of the poems.

With all its elements taken into consideration, *Fishes of Light* promises a feast for the senses, a nourishing catch—a positive banquet of poetry.

ABOUT THE REVIEWER

Roberto Klemente Timonera is a Creative Writing student of the Department of English and Literature in Silliman University.



NAGUEÑOS

Carlos Ojeda Aureus

WITH AN INTRODUCTION BY

Paz Verdades M. Santos

Naga City: Ateneo de Naga University
Press, 2012, 224 pages



THE HYBRIDIZATION OF FILIPINO IDENTITY AS A RESULT OF COLONIZATION AND NEOCOLONIZATION IN AUREUS'S NAGUEÑOS

Review by Jocille Ann B. Morito

GIVEN THE HISTORY of American and Spanish colonial rule in the Philippines, the presence of Western culture remains salient in the country as it moves from the shadows of those colonial years into the 21st century. Unsurprisingly, colonialism in the Philippines did not stop after Douglas McArthur fulfilled his infamous oath in Leyte. (*Have they returned for good?*) Having been “civilized” for more than three centuries—as the famous line goes about the Philippines spending “three hundred years in the convent and

fifty years in Hollywood”—the country today seems to have become a *halo-halo* of colonial legacies left by the Españols and the Americanos, as evidenced by the prominence of Roman Catholicism in the country, the high English proficiency among contemporary Filipinos, and the high tenacity and preference by Filipino masses for Western culture over their own—all of which are striking post-colonial manifestations seen in Carlos Ojeda Aureus’ short story collection *Nagueños*. With this context, the Filipino today is left with the enigma of what constitutes Filipino identity. *What is, indeed, the Filipino?*

Aureus’ *Nagueños* is a collection of eight stories about people in and from Naga, all acculturated by the Catholic faith, and who are struggling with the changes in Postconciliar Roman Catholicism.

The first story, “Reunion,” is about an alumnus of Ateneo de Naga University who goes back to his hometown to attend the titular event twenty-five years after graduation. During the reunion, he unfortunately finds himself invisible and virtually unknown to his other classmates. In a frantic search for roots, he instead witnesses a contemporary Naga whose changes have disappointed him.

“Chinita” is the story of a 52-year-old ex-seminarian named Ricardo Caceres, who becomes infatuated with a 17-year-old *chinita* student named Cynthia Dee at Ateneo de Naga during a seminar on Catholicism where he is one of the guest speakers. Contemplating on his one-sided love for Cynthia Dee as well as changes within the Catholic faith, he comes across a religious icon in the seminary storage room, which makes him understand the fascination he holds for the young girl.

The third story, “Sanctuary,” is a continuation of Ricardo Caceres’ romantic pursuit for Cynthia Dee, who has invited him for an interview, over *merienda* in a restaurant. This affair, however, is interrupted by Bhoy, an infamous Naga gangster, who, with his friends, attempts to violate Cynthia. Ricardo, seeing Cynthia’s distress, saves her from the gangsters by using a crucifix he always carries with him.

“Flakes of Fire, Bodies of Light” is a story of a young Physics teacher who marries an old-fashioned man who soon suffers from terminal cancer later in their married life. Tanya’s husband, Sid, makes her promise to let him die at home and to be cremated afterwards—a burial procedure new to Naga at that time of the story. Tanya soon breaks her promise by bringing Sid to the hospital

to have him operated on. Later, she concedes to Sid's final wish—and finally begins to understand her dying husband.

The fifth story, "Wings," is about an old bachelor who conquers his fear of flying by riding a plane to Naga for the first time. Albeit filled with doubt and paranoia, his lustful thoughts for the stewardess in his flight distracts him from his inner turmoil, and he is able to land in Naga safe and whole.

"The Late Comer" is a story of a 50-year old Catholic who meets his daughter's childhood classmate, Suzzette, in an art exhibit which the latter curates. In the course of catching up with each other, Epifanio Bagting finds himself flirting with the 19-year-old, and soon invites her to dance in the empty hall of the hotel they are in until her suitor, Rex, arrives.

"Typhoon" is about a Catholic priest, Fr. Itos Caceres, who has decided to quit the priesthood due to the rigidity and the callousness he has suddenly found in his religion, which sprung from the barbed criticism hurled upon him from the Catholic community for providing communion to Rosing, a reputed adulterer and a user of artificial contraceptive. Just before a fluvial procession, Rosing decides to leave Naga and bids Fr. Itos goodbye. She warns him of an impending disaster that might befall the city. Just when Fr. Itos is ready to leave the priesthood, he finds the handkerchief he gave Rosing tucked in the bosom of the Lady of Peñafrancia during the fluvial procession. Imagining Rosing in the Lady's image, he decides to remain in the priesthood, and makes the promise to serve the Lady of Peñafrancia all the more.

The last story, "The Night Express Does Not Stop Anymore," is about Naty, a devout and prayerful Catholic OFW, whose son was killed in a fraternity hazing at a Catholic law school in Manila. The loss of her son has devastated her faith. A new acquaintance with Gaia, whose son has died from an illness, helps her to move on and to let go.

A reading through the pages of *Nagueños* would render the reader unprepared if he/she will not familiarize him/herself with the history of Naga. The city is one of the oldest Spanish settlements in the Philippines, discovered by the Spanish colonizer Capt. Juan de Salcedo in 1573 and established by Capt. Pedro de Chaves in 1574 as Ciudad de Nueva Caceres, in honor of the governor of the city of Caceres in Spain. Then, Naga was known as the third Spanish Royal City, next to Manila and Cebu. It has been the center of religion and education in the Bicol region, and through the years, Naga had been

considered as the Pilgrim Capital of the Philippines, home of the largest Marian pilgrimage in Asia, which is in honor of Our Lady of Peñafrancia. In 1595, the See of Caceres was erected in Naga, making it the seat of the new bishopric at that time. During Spanish rule, Naga had a special rank in the Philippine Catholic hierarchy.

The propagation of Roman Catholicism on Nagueños had, of course, permanently influenced their culture and society. By baptizing them into the Catholic faith, the friars of the Spanish colonial government remodeled Naga culture, society, and identity. As what postcolonial theorist Franz Fanon once stated, "Colonization is not satisfied with merely holding a people in its grip and emptying the native's brain of all form and content. By a kind of perverted logic, it turns to the past of oppressed people, and distorts, disfigures, and destroys it."

This being said, a reader of *Nagueños* can point out the protagonists' disappointment towards the changes in the Catholic faith. Pre-Conciliar Catholicism has deeply established itself in the culture of Naga that most of the protagonists in *Nagueños* have come to resist the changes in the Church established by the Second Vatican Council: like Ricardo Caceres in "Chinita" and "Sanctuary," who has come to detest the Catholic Church's abolition of the use of the crucifix as well as the prayer to Saint Michael the Archangel; like Sid in "Flakes of Fires, Bodies of Light," who disagrees with the eradication of Gregorian chants and the Latin dictum during mass.

However, despite the post-Conciliar changes, Catholicism in Naga remains a major institution that guided every decision made by Nagueños.

We see this in Tanya's resistance to Sid's idea to die at home, the latter having opposed surgery for his terminal cancer. In "Flakes of Fire, Bodies of Light," Tanya argues that a willful death is against the Church commandments to preserve life at all cost. Only upon reading *Humane Vitae* regarding the matter did Tanya concede to Sid's last will. Even the idea of cremation is a remote idea among Nagueños for fear that this may render the promised resurrection impossible once the body is burned to cinders.

We see this resistance also reflected in the story "Wings," where the protagonist sees "flying" by plane as being unnatural, for it defies the laws of nature as well as the law of God. He argues that "[i]f God intended us to fly, He'd given us wings," and that he'd only fly by plane granted that the "...Pope were on board the same plane with me."

In "The Late Comer," we see this resistance also reflected when Margie, the wife of Epifanio Bagting, disdains the use of contraceptives as taught by the Catholic Church and written in the *Humane Vitae*: "Margie regarded all artificial means of contraception as pregnancy termination."

In "Typhoon," Rosing is forced to go back to her drunkard husband despite repeated beatings she has received from him, for "her contumacy was a defiance to Church authority, and her open disregard of penalty invoked automatic censure...because her sins threatened the common good of the Church and its members."

In "The Night Train Does Not Stop Here Anymore," Naty Angeles, a devout Catholic, wants her son to study in a Catholic law school in Manila for the reason that, "...all Catholic schools belonged to a tradition of quality education dating back to Europe's medieval universalities, which fashioned boys and girls into Christlike and Marylike individuals."

Spanish Catholicism, without question, has formed the society of Naga, and the Philippines as a whole. Three hundred years of Hispanization in the Philippines has strengthened the grip of the religion on Nagueños that Epifanio Bagting comments in "The Late Comer":

No Nagueño ever leaves the Catholic Church. If you studied in the Naga Parochial School or the Colegio de Santa Isabel or Ateneo de Naga, the odds are overwhelming that the Catholic imprint will remain with you forever.

The Spanish colonialization over the years had created a pattern of mimicry among Nagueños. Mimicry, as what Homi Bhabba has observed, is one of the most powerful tools utilized by the colonial power over its constituents. Through mimicry, the colonized learns to adopt the colonizer's habits, assumptions, and values, creating a "blurred copy" of the colonizer.

One of the results of this mimicry is the prevalent patriarchy in the Philippine society. When the Spaniards dropped-anchor in the archipelago during the 16th Century, they didn't only bring their Christian faith, but also their Western view on gender, especially on women.

If one would go back to the pre-Hispanic Philippines, one would note the society's high view on women in their baranggays—the women having the ranks of spiritual leaders (commonly known

as *babaylans*). Though they did not share absolute equality with men, women were considered life givers of the society. In essence, the pre-Hispanic Philippines was maternalistic juxtaposed the Hispanized society where women have been reduced to objects of lust and abuse, basically a gender inferior to men.

The friars during the Spanish rule further harmed matriarchy in the country as they institutionalized women within the confines of domesticity, silencing them in spiritual matters. In the story "Typhoon," Rosing, who was a battered wife, was forced by Fr. Ito to return to his abusive husband reasoning out that the church does not support divorce and adultery. This inequality between men and women can be noted in Fr. Ito's narration:

She told me her husband would beat her up daily. She complained of cruelty and of how much pain she had suffered. Because of my training, these things mean nothing to me. Then she told me of this other man, Jose, who had rescued her from this hellish life and how much they loved each other. Now that meant something to me.

The long years of Spanish colonization had somewhat established a misogynistic community in Naga, in that the people heeded not the abuses of Rosing's husband. They rather castigated her adulterous affair with another man who saved her from the cruelties of her husband. Male cruelty was more tolerable than women's infidelity.

An attempt to reconstruct this cultural code, however, can be observed in other stories in Nagueños. In the story "Chinita," for example, the Church was viewed as a woman, and was associated with the pronoun "HER" rather than "HIM" in Ross Alvarado's statement, "The Future of Catholicism: Her Relevance in the 21st Century." The Catholic Church was even alluded to female characters in the stories: Pandora (in "Reunion"), Chinita Dee (in "Chinita" and "Sanctuary"), Rosing (in "Typhoon"), Suzette Uy (in "The Late Comer") among others. This epiphany of the Catholic Church as a woman was noted by Rick Caceres in "Reunion":

Finally, She (Catholic Church) revealed Herself... all continually alternating and renewing themselves, flowing and merging and swimming with the next transfiguration

of faces which were yet all one and the same stunningly ravishing and cuddly and arousingly divine and beauteous.

The image of a young and sexually attractive woman is a metaphor of the Catholic Church—reconstructing its image and portraying its feminine and womanly qualities: beauteous, attractive, divine, and a life-giving mother.

Yet, Naga is not only a constructed Spanish replica. Despite the saliency of Spanish influence, Americanization is also apparent in its society and its people. Naga (like any other Philippine province), is a neocolonial state of America post World War II.

Neocolonialism, according to Gayatri Chakravorty Spivak, is a kind of colonialism that is “more economic and less territorial.” It’s like radiation—“you feel it less like you don’t feel it—you feel like you’re independent.” E San Juan clearly defined this as the “domination of people and societies by capital (primarily Western, but including Japan) through the liberal market and other ideological means, not through the direct political rule.”

It is evident in *Nagueños* that Catholic Naga had been enamored by the capitalist America causing its people to fall victim in the web of neocolonial mentality. Frantz Fanon asserted that imperialism consequently created a colonial mindset among the colonized where which the latter’s perception of their inferiority produced a mimicry of the colonizer’s ways which were deemed superior by the colonized.

This mimicry of the American ways is apparent in the society of Naga. As what the protagonist in “Reunion” noticed:

In the centro I noticed conspicuous changes: where once stood Banco Filipino now houses Zenco Footstep... some buildings have disappeared completely, like the old provincial capitol where Robertson Department Store now stands. Greenwich Pizza is now beside the San Francisco Church...

Carl’s Diner, a restaurant where Cynthia Dee and Mr. Caceres had their merienda in the story “Sanctuary,” was described in these words:

...a loud, technicolored luncheonette perched atop New

England Bakery... Carl's however, draws attention not much to its menus painted loudly outside the glass windows (cakes, fries, steaks, pancakes, tacos, chili, pizza) but the sight of a red vintage Cadillac crashing through a huge 45 rpm Beatles record... huge posters of Brando, Bogart, Marilyn Monroe and James Dean; piped-in music of Nat King Cole's unforgettable songs.

Even the male protagonists in *Nagueños* had a certain fascination over the Western culture: [1] Ricardo Caceres' preference to be called "Rick," and his fantasies of writing a screenplay based on Hollywood classic romances; [2] Sid's (in "Flakes of Fire, Bodies of Light") collection of records of Jerry Vale, Vic Damone, The Platters, The four Aces, Tony Benett, Doris Day, Joni James, Sarah Vaughan, Patti Page Patsy Cline, and Dinah Shore; [3] the protagonist's (in "Wings") preference for Ray Ban, his admiration for Arnold Schwarzenegger and his allusion of the flight stewardess to Jean Harlow in "Red Dust" (an American romantic film in 1932); [4] and Epifanio Bagting's insistence to be called "Eppie" by the young Suzette and their dancing of Macarena while doing the Charleston foxtrot.

As calendars were flipped and changed, this process of colonization and neocolonization had produced a unique Filipino identity. The subtle Filipino resistance to its long history of colonization had undergone a hybridization of culture. In its attempt to create a dichotomy of identity, hybridization inevitably transpires in order to generate a distinction between the colonized and the colonizer. This resulted from the colonized's acceptance of the colonizer's role in their culture. But the colonized does not passively embraced the colonizers' culture. Rather, they shifted and evolved its meaning so that what formerly belonged to the colonizer now belongs to and is further shaped by the colonized. This hybridization is apparent in the Philippine language. By using the colonizer's language and taking ownership of it, the colonized resists the hegemony of the former's culture. This process of hybridization had caused the emergence of Taglish in the Philippines (the mixture of Tagalog and English language incorporated with Spanish supplements). We can see this hybridization of language in Cynthia Dee's letter to Ricardo Caceres in the story "Chinita":

Dear Mr. Caceres,

I like your lecture very much, I am interested to know more about the Future Church. I like it very much when someone like you cares so much about our Catholic Faith. Miss Dizon assigned us to write a reaction paper on any of the topics here and I have chosen you. I wanted to ask you *sana* but I'm too *dyahe* to approach you. So I'm writing you *na lang* to invite you to join me for *merienda* at Carl's Diner this Saturday at 4pm. I invited Tita Ross too. Tita Ross will tell you where you can pick me up. Don't worry, it's my treat. I sincerely hope you can make it sir. Please don't Indian me ok? I really want to talk to you. See you Saturday. Bye.

Luvlots,

Chinita

This resistance (hybridization) further led to decolonization, the reconstruction of old-fashioned perceptions and attitudes developed as a result of colonization. A deviation from the standard English syntax can be observed in the character of Bhoi in the story "Sanctuary:"

Why you *hiding-hiding* here?.. We looking-looking for you in beer garden... Well-well-well-well, so-o-o-o you *dating-dating*, ha?... You no introducing your date?... You no introducing... him? (emphasis by the author)

This deliberate noncompliance to the English syntax is the Filipino's way of dichotomizing their own identity from the domineering colonial cultures.

This process of colonialization and neocolonialization rendered the conception of national identity a struggle among Filipinos. The long years of being structured by the Western culture made the Filipino society a fusion of America and Spain. The Filipino identity had become a quandary and sometimes a myth to some that hybridity served a better pill to cure the dilemma of national identity. As what Stuart Hall theorized in his article, "The Question of Cultural Identity," cultural identity is a product of decoding and encoding of practices among members of the society. Thus, identity

is something formed over time, rather than something that is innate at birth. Cultural identity is an ongoing process that arises from the interaction among the members of the society.

This being said, we can formulate that the Filipino identity is a result of the cross-fertilization of American and Spanish culture that evolved over time in the hearts and minds of Filipinos as they struggled to find their own image, language and culture. So to answer the question "Who is the Filipino?" one must need to return to History and browse through the blueprints of colonialism in order to get a better view of a Filipino.

ABOUT THE REVIEWER

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SPECIAL SECTION



SILLIMAN JOURNAL

Silliman University
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Philippines

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EDITORIAL POLICIES

MISSION STATEMENT

SILLIMAN JOURNAL (SJ) is an interdisciplinary peer refereed academic journal of Silliman University. SJ continues to commit to its mission of providing an avenue for scholarly dialogues not only among members of the Silliman academic community but also among its international readership. SJ aims to continue the dissemination of results of scholarly inquiry, to endeavor to create opportunities for Silliman faculty and other scholars to engage in writing and publication, and

to strive to maintain excellence in academic research, scholarship and publication.

GENERAL DESCRIPTION

1. The SILLIMAN JOURNAL is devoted to discussion and investigation in the humanities, social sciences, and sciences, and is published by Silliman University, Dumaguete City, Philippines. SJ publishes two issues per year, and has more than 200 journal exchanges with educational institutions, government bodies, and non-government organizations worldwide.
2. It is indexed in the Modern Language Association (MLA) Bibliography; BIOSIS (now ZOOLOGICAL RECORDS), which publishes indexes and abstracts in Biology; ULRICH International Periodicals Directory, New Jersey, USA; the University Microfilms International, Michigan, USA; and the Index to Philippine Periodicals, among others. SJ is available in microfilm format at the University Microfilms International, Michigan, USA.
3. The policies and practices of the SILLIMAN JOURNAL are based on formal actions of the SILLIMAN JOURNAL Editorial Board and on informal consensus and tradition.

PURPOSE AND SCOPE OF THE SILLIMAN JOURNAL

4. The SILLIMAN JOURNAL welcomes contributions in all fields from both Philippine and foreign scholars, but papers should preferably have some relevance to the Philippines, Asia, or the Pacific.
5. Articles should be products of research, taken in its broadest sense; a scientific paper should make an original contribution to its field. Authors are advised to keep in mind that SILLIMAN JOURNAL has a general and international readership, and to structure their papers accordingly. (These articles may be referred to in the following pages as "full-length articles.")
6. The SILLIMAN JOURNAL also welcomes the submission of "Notes," which generally are briefer and more tentative than full-length articles. Reports on work in progress, queries, updates, reports of impressions rather than research, responses to the works of others ("Readers Forum"), even reminiscences are appropriate here. Book reviews and review articles will also be considered for publication.

7. The SILLIMAN JOURNAL may also publish official documents of Silliman University.

EDITORIAL INSTRUCTIONS

8. Manuscripts should conform to the conventions of format and style exemplified in a typical issue of SILLIMAN JOURNAL. Whenever possible, citations should appear in the body of the paper, holding footnotes to a minimum. Footnotes in the manuscript will be laid out as End Notes. Documentation of sources should be discipline-based.
9. Submissions must be electronically mailed as .rtf attachments.
10. Tables, illustrations, pictures, and figures will be accepted only when absolutely necessary. Tables must not exceed five (5) in number. Colored pictures and illustrations may be included at the printing expense of the author(s). All photos and illustrations must be sent as .jpeg attachments accompanying the manuscript.
11. All submitted manuscripts must be accompanied by an abstract of not more than 200 words, and keywords of not more than 10 words.
12. All submitted manuscripts must use gender-fair language.
13. All submitted manuscripts should not exceed 10,000 words in length, excluding references, tables, and figures.
14. All full-length articles submitted to the SILLIMAN JOURNAL are carefully refereed by qualified specialists in particular fields of study before they can be accepted for publication. This is to ensure the quality—that the work is original, valid, and significant—of each contribution. (See Appendix A: Peer Review Guidelines)
15. The SILLIMAN JOURNAL accepts only primary publication for all submitted full-length articles. The characteristics of primary, or original, publication are that
 - a. articles represent research not previously published;
 - b. articles are reviewed by peers before being accepted or rejected by the SILLIMAN JOURNAL; and

- c. articles are archival, or retrievable for future references.

The standard of primary publication is supported by the peer-reviewed system and protected by policies that prohibit multiple submission and duplicate publication.

However, while SJ has first rights over an article, it can give permission to republish/reprint an article in another publication (e.g. the author's book, etc.) on condition that SJ will be properly/publicly acknowledged as the original source. The advancement of technology also means that authors/sponsoring groups may request permission for PDF copies of their published articles to be uploaded into their websites. The EIC can give this permission.

4. The SILLIMAN JOURNAL accepts only primary publication for all submitted articles for the "Notes" section. The article must not be previously published.
5. The rejection of articles for publication may be due to inability to follow the above instructions, or failure to pass the evaluation standards of the peer review. The EIC may endeavor to locate another, preferably independent, reviewer. See Peer Review Procedures.

EDITORIAL STAFF

DEFINITIONS OF ROLES, RIGHTS, AND RESPONSIBILITIES

6. The Vice President for Academic Affairs of Silliman University, upon recommendation by the SILLIMAN JOURNAL Editorial Board, appoints the Editorial Staff of the Journal consisting of an Editor-in-Chief; Associate Editors; a production editor; and a Business Manager. The positions should be filled from the ranks of the University faculty. The VPAA shall consider the following criteria for choosing the EIC and the other staff: expertise, experience, credentials, publishing know-how, commitment to the job, and knowledge of journal's varied subjects.
7. The roles of the EDITOR-IN-CHIEF (EIC) are defined as follows:
 - a. *Responsibility for quality of content*
 - The Editor-in-Chief of the SILLIMAN JOURNAL has the editorial responsibility for the journal and is therefore

responsible for its quality;

- The EIC sets up the Editorial Staff of Associate Editors who are subsequently recommended by the Editorial Board, and given official appointment by the Vice President for Academic Affairs.
- The EIC, with the assistance of the Associate and the Production Editors, plans Special Issues and sends out Call for Papers. This includes determining the theme/topic and potential authors, referees, and guest editors.
- The EIC is responsible for implementing and applying the Editorial Policies of the Journal, for maintaining a high level of quality in the editing process, and for applying ethical standards.
- The EIC ensures that full-length articles are facilitated according to the Production Process approved by the Editorial Board.
- The EIC mediates between the Editorial Board, the authors, and the referees in all matters concerning the operation of the Journal.
- The EIC writes the Editorial Notes and the Introduction segments of the Journal.

b. Responsibilities to authors

- The Editor-in-Chief of the SILLIMAN JOURNAL writes the Call for Papers.
- The EIC, in coordination with the Associate Editors, is responsible for soliciting full-length articles and notes for the journal.
- The EIC shall promptly inform the contributors on the referees' comments and suggestions on the article based on the Peer Review Guidelines.

c. Responsibilities to peer referees

- The Editor-in-Chief of the SILLIMAN JOURNAL is responsible for inviting both foreign and local specialists to

review the manuscripts submitted for publication to SJ. The EIC assigns papers for review appropriate to the reviewer/s' area of expertise or specialization.

- The EIC shall remind the referees on publication schedules to ensure that the referees have sufficient time to review the articles.
- The EIC updates the referees on the progress of articles based on their comments and suggestions.
- The EIC, with the assistance of the Associate Editors, adjudicates manuscripts when peer reviewers disagree on the disposition of the article, after submitting the paper to at least one more reviewer.
- The EIC shall ensure that referees are properly acknowledged; however, the identity of specialists on the topic who prefer to conduct blind referees shall remain confidential.

d. Responsibilities to readers

- The Editor-in-Chief of the SILLIMAN JOURNAL shall facilitate the continuous publication of the Readers Forum, where readers could respond to articles published at the SJ.
- The EIC, in coordination with the Business Manager, is responsible for enhancing the impact factor of the Journal through effective and efficient exchange of journals with other academic institutions. The EIC works with the Business Manager in designing promotional and marketing schemes for the journal, with input from the Editorial Board.

e. Responsibilities to Editorial Board

- The Editor-in-Chief of the SILLIMAN JOURNAL makes periodic assessments of the general Editorial Staff, and recommends changes when appropriate.
- The EIC reports periodically to the Editorial Board on the progress of the journal production.

20. The rights of the EIC are defined as follows:

To establish and maintain high-quality journal content, an editor

has the right at the beginning of his or her employment to receive an explicit written statement from the journal's publisher (Silliman University) that defines the editor's rights and autonomy. The editor's right to editorial freedom must be supported by the following to be agreed upon by both editor and publisher:

- A journal mission statement.
- Written editorial priorities.
- Written editorial policies.
- A written job description, specifically detailing components of editorial freedom regarding control over acceptance and publication of original content, degree of control over advertising content, etc.
- An editorial board that is appointed by the Vice President for Academic Affairs based on the recommendation of the Editor. Direct lines of communication with the Silliman University Administration
- Sufficient and consistent support from Silliman University Administration in both funding and staff to carry out the journal's stated mission.
- Preferably, a mechanism for regular and objective evaluation of journal performance by a body created by the University for such purpose.

21. The roles, qualifications, and responsibilities of the ASSOCIATE EDITORS (AE) are defined as follows:

- a. The AE/s assist the EIC in all matters pertaining to the Journal.
- b. The AE/s familiarize themselves with all aspects of the Journal content so that they could substitute the EIC should that become necessary.
- c. The AE/s may be designated by the EIC to write the Editorial Notes and Introduction for particular issues.
- d. The AE/s advise submitting authors on matters pertaining to the Editorial Policies and Production Process, and assist them in the production of their articles.
- e. The AE/s make sure the articles submitted have abstracts and keywords.
- f. The AE/s create a pool of proofreaders, preferably from the Editorial Board Members.

- g. The AE/s assist the EIC in selecting reviewers.
 - h. The AE/s assist the EIC in reading the reviews and adjudicating manuscripts when peer reviewers disagree on the disposition of the article.
 - i. The AE/s proofread articles.
 - j. The AE/s assist the EIC and the Production Editor in planning Special Issues. This includes determining the theme/topic and potential authors, referees, and, as the need arises, also guest/issue editors.
 - k. The AE/s assist the EIC in soliciting papers for publication.
 - l. The AE/s assist the EIC in reviewing the papers.
22. The roles of the PRODUCTION EDITOR (PE) are defined as follows:
- a. The PE, in collaboration with EIC & AE/s, is responsible for designing the journal layout, format, cover design, art work, and other production concepts.
 - b. The PE must make an electronic file in PDF of the camera-ready version for record/archival purposes (e.g., when authors/sponsoring groups requests PDF files of articles for uploading into their websites.)
 - c. The PE ensures that production guidelines are strictly followed and that deadlines are met.
 - d. The PE works with the EIC and AE/s in supervising copy-editing and proofreading functions to ensure that the publication is factually and grammatically correct and the Editorial Policies strictly followed.
 - e. The PE personally delivers the camera-ready volume to the Press, oversees the printing/production of the journal, and receives the finish product.
 - f. The PE familiarizes himself/herself with the functions of the AE/s so that s/he could substitute the AE should that become necessary.

23. The roles of the BUSINESS MANAGER (BM) are defined as follows:
- a. The BM directs and coordinates the circulation of the Journal.
 - b. The BM ensures that individual authors immediately get one complimentary copy of the issue. Regardless of the number of authors, only ten (10) copies of the off-prints for each published article shall be furnished.
 - c. The BM ensures that contributors, peer reviewers, and subscribers promptly receive copies of the Journal.
 - d. The BM is responsible for enhancing the impact factor of the journal through effective and efficient exchange of journals with other academic institutions.
 - e. The BM tracks and reports on circulation goals in relation to the budget.
 - f. The BM is responsible for strategic planning, promotion, and marketing efforts to keep the journal financially viable.
 - g. The BM is responsible for preparing the budget as well as auditing reports.
 - h. The BM deals with the press and handles the financial aspect of the production, e.g., processing the requisition forms, and other related tasks.
24. The Editorial Staff serves a term of two (2) years. This term is renewable based on the performance of the staff member, as recommended by the EIC and appointed by the VPAA.

EDITORIAL BOARD

25. The Vice President for Academic Affairs (VPAA) of Silliman University, upon the recommendation/nomination of the EIC, appoints the members of the Editorial Board of the SILLIMAN JOURNAL. The Board consists of a (1) University Editorial Board with 7-10 members, and an (2) Overseas Editorial Board with 4-7 members. The positions of the University Editorial Board should be filled from the ranks of the University faculty. The VPAA convenes the University Editorial Board, which subsequently elects the chair.

26. The EIC, along with the VPAA, has the freedom to choose prospective members of the Editorial Board who share the vision and goals of the journal. Composition of the Editorial Board depends on the individual's disciplinary background and the following criteria:

- Publication involvement and experience
- Research activities and productivity
- Academic credentials
- Scholarly integrity
- Creativity

27. The roles of the CHAIR of the Editorial Board are defined as follows:

- a. The Chair prepares the agenda for regular and special meetings
- b. The Chair presides regular and special meetings.
- c. The Chair assists the EIC and the AE/s in soliciting papers and locating reviewers.
- d. The Chair works with the EIC and the AE/s in ensuring that the Editorial Policies and the Production Process are strictly followed.
- e. The Chair is responsible for ensuring that the Editorial Staff gets sufficient financial support from the Silliman University Administration for the prompt production of the issues.
- f. The Chair works closely with the Vice President for Academic Affairs, who is an ex-officio of the Board, in ensuring that the journal abides by University policies and regulations.
- g. The Chair acts a liaison between the Journal and the Administration in matters pertaining to the administration and management of the Journal.
- h. The Chair assists the EIC and the AE/s in soliciting and acquiring suitable papers for the Journal by inviting colleagues to submit articles and/or notes to the Journal.
- i. The Chair must demonstrate keen interest in research and publication and is expected to submit at least one (1) full-length article during his/her term.
- j. The Chair assists in proofreading articles. The Chair shall

ensure that a Memorandum of Agreement with sponsoring organizations/groups of special or funded issues and the University, through the VPAA, be signed to establish the parameters of relations between the sponsoring agency and SJ.

28. The roles of the MEMBERS of the Editorial Board are defined as follows:
- a. The Editorial Board Members assist the EIC and the AE/s in soliciting and acquiring suitable papers for the Journal from their respective colleagues.
 - b. The Editorial Board Members shall critically review and evaluate all articles for the Notes Section, when such articles are related to their areas of specialization.
 - c. The Editorial Board Members ensure that the EIC receives sufficient financial support from the administration to allow the timely publication of the issues.
 - d. The Editorial Board Members must demonstrate keen interest in research and publication; they are expected to submit at least one (1) article during their term.
 - e. The Editorial Board Members assist in proofreading articles. Therefore, the membership must be as diverse as the disciplinary coverage of SJ.
 - f. The Editorial Board Members should take more active role in developing SJ and promoting the publication through membership in committees such as (1) manuscripts committee (responsible mainly for locating manuscripts), (2) finance committee (locating funding or generating income through special issues or special projects, drawing budgets, directing assisting/advising the BM); and (3) special projects (planning and coordinating lecture series, writing/publication seminar-workshops, book launchings, etc.).
29. The members of the Editorial Board serve a term of two (2) years. The term is renewable based on the performance of the member, and as appointed by the VPAA.
30. The Editorial Board Members are encouraged to recommend and help locate international experts who will referee particular articles.

EDITORIAL PROCESS

31. The approved publication process must be followed, from submission of articles to publication of the same. (See Appendix B: Publication Process Chart)
32. Researchers must make their data available to the editors at any time during the review and production process if questions arise with respect to the accuracy of the report. Otherwise, the submitted manuscript may be rejected.
33. Authors will be sent PDF copies of the camera-ready version sent by electronic mail, or of the galleys sent by mail, and must carefully review these and indicate their final approval of the pre-published form through written notification to the Editorial Staff. If, however, the author does not respond within one (1) week, the Editorial Staff reserves the right to continue with the publication process.
34. The Editorial Staff must endeavor to maintain a publication lag—the interval between the date a manuscript is accepted and the date the manuscript is published—that averages six (6) months.
35. The Editorial Staff will endeavor to acknowledge all submissions, consider them promptly, and notify authors of its decision as soon as possible.

PEER REVIEW

36. REVIEWERS will evaluate each submitted manuscript based on the following criteria:
 - a. Significance of themes
 - b. Relevance of themes
 - c. Clarity of thematic focus
 - d. Relationship to literature
 - e. Research design and data
 - f. Data analysis and use of data
 - g. Use of theory
 - h. Critical qualities
 - i. Clarity of conclusions
 - j. Quality of communication

Each reviewer is provided an evaluation sheet that has full and

detailed description of each criterion. (Please refer to Peer Review Guidelines.)

In some instances, e.g., controversial papers, reviewers might request to see the revised version of the paper they have reviewed to make sure that the questions raised in the review have been addressed and the comments incorporated in the revision.

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APPENDIX A

Peer Review Guidelines

Dear Referee,

Thank you very much in advance for agreeing to referee the following paper for Silliman Journal. As a member of a community of scholars and educators, your help in providing critical and constructive feedback on the work of peers cannot be overstressed. Silliman Journal appreciates your help in making sure that only high quality papers are published, and that the author/s are protected from putting poor work into print.

Although discretion to publish remains with the editors, the greater part of that decision is often based on your comments. Thus, you are strongly encouraged to provide incisive, reasoned, and helpful feedback to authors. As a referee, you have an option to remain anonymous and the Editorial Board will handle your comments confidentially.

Silliman Journal will acknowledge your contribution as reviewer by including your name in the Board of Reviewers for the specific issue in which you have contributed (although, of course, the particular papers you refereed will not be identified).

Evaluation Criteria

1. Significance of Themes

- Is this a topic that needs addressing?
- Is the area investigated by the paper: timely? important? in need of addressing because it has been neglected? intrinsically interesting? filling a gap in current knowledge? (The paper does not have to be all of these things to be significant; it is sufficient to measure it against one of these forms of significance.)
- By addressing these themes, does this paper make a useful contribution?
- Is the paper significant and original? Does it provide new information?

2. Relevance of Themes

- Are these themes relevant to this publication?
- If not, is there a more appropriate place for publication?

3. Clarity of Thematic Focus

- Are the author's themes clearly stated?
- Does the paper follow through by addressing these themes, consistently and coherently?
- Does the paper show argumentative soundness? Is the paper logically organized and easy to follow?

4. Relationship to Literature

- Does the paper demonstrate an adequate understanding of the current literature in the field?
- Does it connect with the literature in a way which might be useful to the development of our understanding in the area it addresses?

5. Research Design and Data

- Does the paper show an adequate knowledge of research within the field?
- Has the intellectual work that is the basis for this paper been built on adequate evidence, informational input, or other intellectual raw materials?
- Has the research or equivalent intellectual work on which the paper is based been well designed?

6. Data Analysis and Use of Data

- Has the interpretative potential of the data been realized?
- Has the data been used effectively to advance the themes that the paper sets out to address?
- Has the study been conducted in an appropriate manner with respect to its aims?

7. Use of Theory

- Does the paper employ theory in a meaningful way?
- Does it use theoretical concepts in such a way as to make plausible generalizations?

8. Critical Qualities

- Does the paper demonstrate a critical self-awareness of the author's own perspectives and interests?

- Does it show awareness of the possibility of alternative or competing perspectives: such as other cultural, social, political, theoretical or intellectual perspectives?
- Does it show an awareness of the practical implications of the ideas it is advancing?

9. Clarity of Conclusions

- Are the conclusions of the paper clearly stated?
- Cohesiveness of paper: do the conclusions adequately tie together the other elements of the paper (such as theory, data and critical perspectives)?

10. Quality of Communication

- Does the paper clearly express its case, measured against the technical language of the field and the reading capacities of an academic, tertiary student and professional readership?
- What is the standard of the writing, including spelling and grammar? If you will be recommending publication with revisions, please make specific suggestions or list errors.

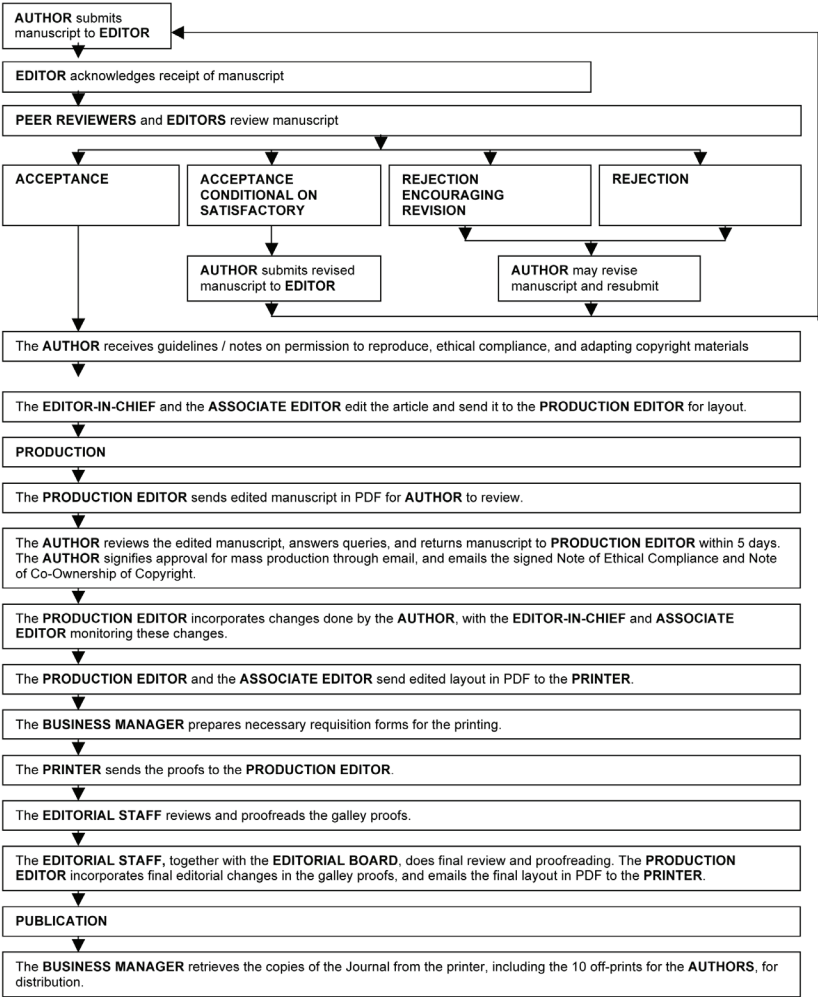
Recommendation

On the basis of the above evaluation, you may recommend:

- ___ Acceptance
- ___ Acceptance with minor revisions
- ___ Resubmit with major revisions
- ___ Rejection

APPENDIX B

Editorial Process





ERRATUM

The italicized items below are corrections made from the original sentences which were inadvertently overlooked when the article by Dr. Enrique G. Oracion, "Baylor and Silliman: Keeping Quality Faculty in Two Christian Universities," published in *Silliman Journal* 54 (1) 2013, p. 155, was finally revised:

The faculty members who are qualified for promotion, based on the points earned under the Faculty Salary Administration Scheme (FSAS), have to submit their documents which include professional activities, publications, creativity, and teaching performance evaluation to the HRD Manager who then submit these to the *Deans Conference* for review and to recommend appropriate action. The review schedule has no definite dates, unlike at Baylor. The favorable action of the *Deans Conference* is forwarded to the *Promotion Committee* which again reviews the documents to concur or dispute the recommendation of the former. If the *committee* recommends the promotion, this is submitted to the President (if it is only for assistant professor) and the Board of Trustees (if it is for associate or full professors) for approval and issuance of appointment (see SU-SUFA Collective Bargaining Agreement, 2011-2014).



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